



# DEEPRob

Lecture 10  
Training Neural Networks I  
University of Michigan | Department of Robotics



# Project 2—Updates

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- Instructions available on the website
- Here: [deeprob.org/projects/project2/](http://deeprob.org/projects/project2/)
- two-layer neural network and R-CNN/two-stage detectors
- Due Thursday, February 22th 11:59 PM EST



# Recap: Object Detection

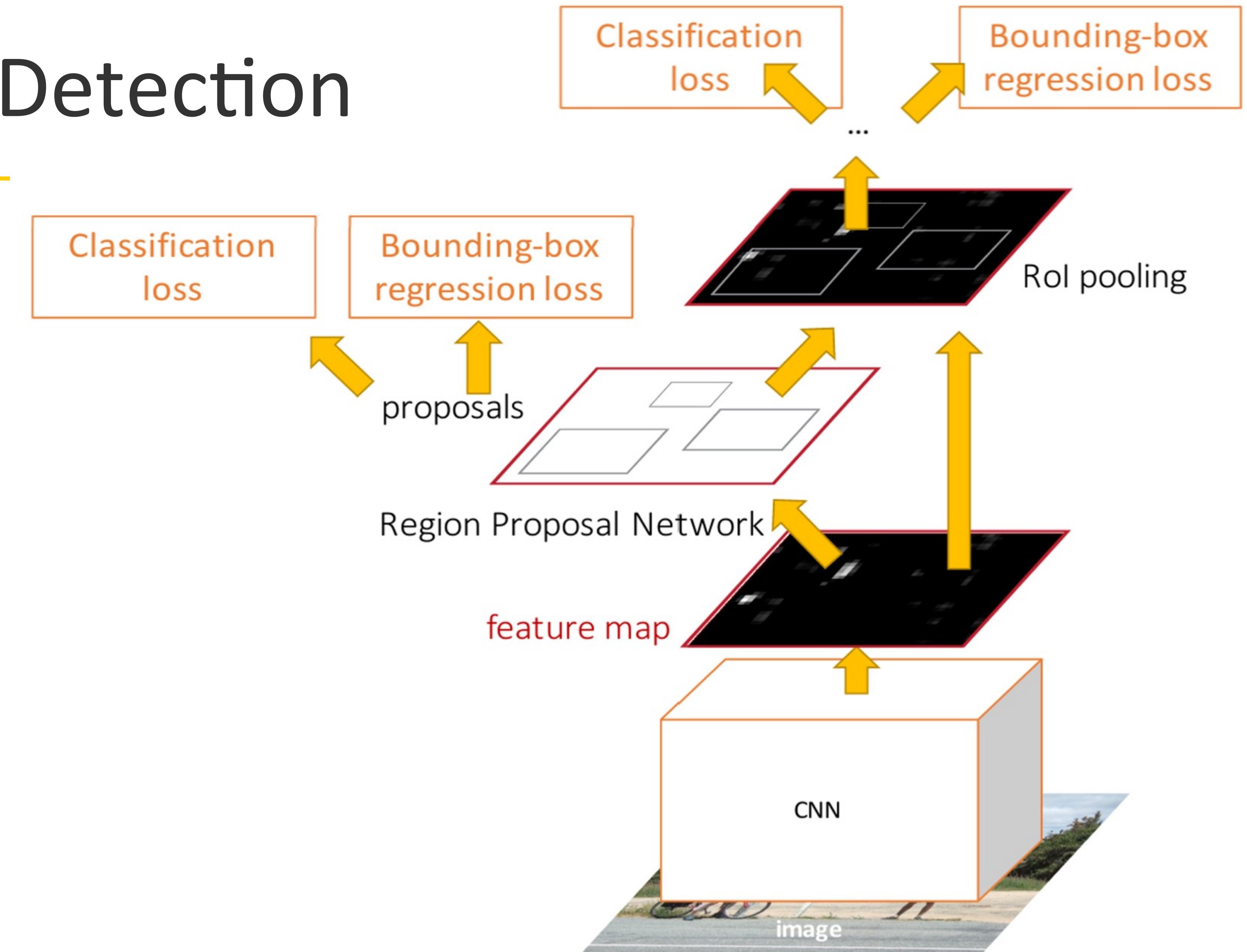
R-CNN

Fast R-CNN

Faster R-CNN

Mask R-CNN

...





# Final Project Paper Selection Survey

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- Published as a gradescope quiz, **1 point**
  - To gauge your areas of interest
  - Used for forming teams

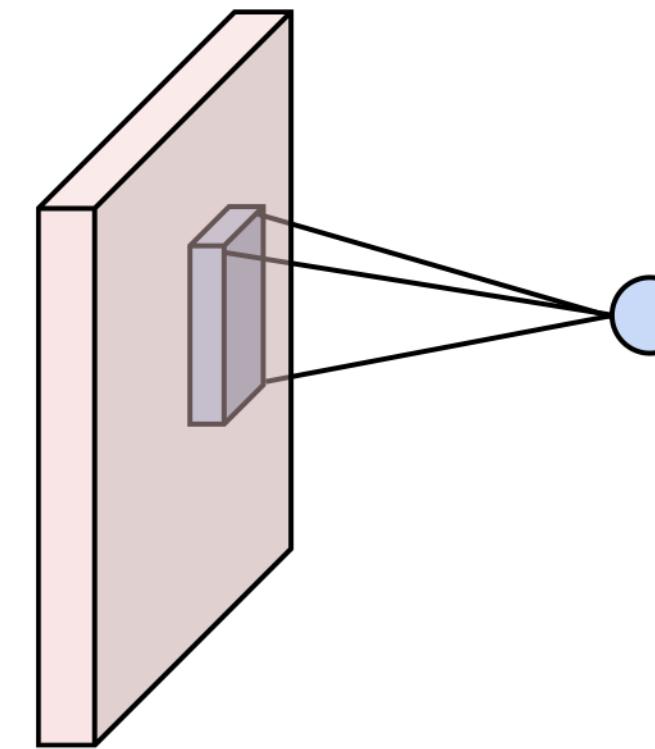
<https://deeprob.org/w24/papers/>

- Due February 22nd 11:59 PM EST

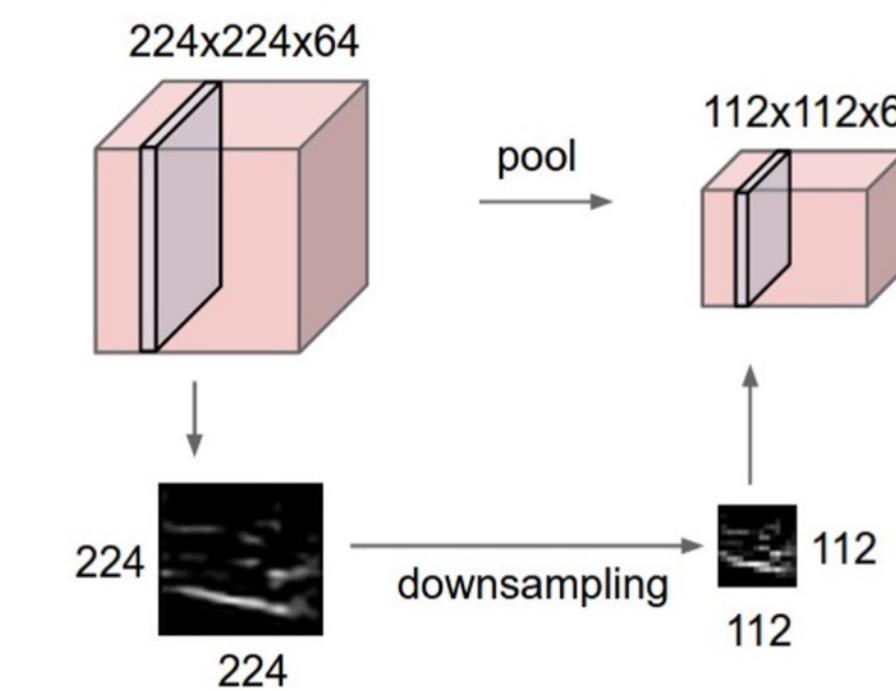


# Components of Convolutional Networks

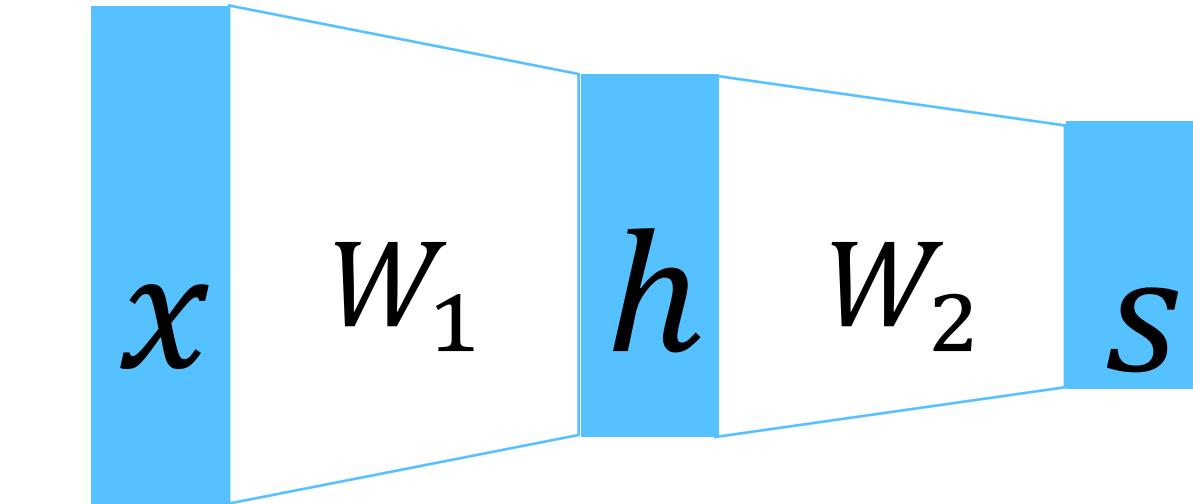
## Convolution Layers



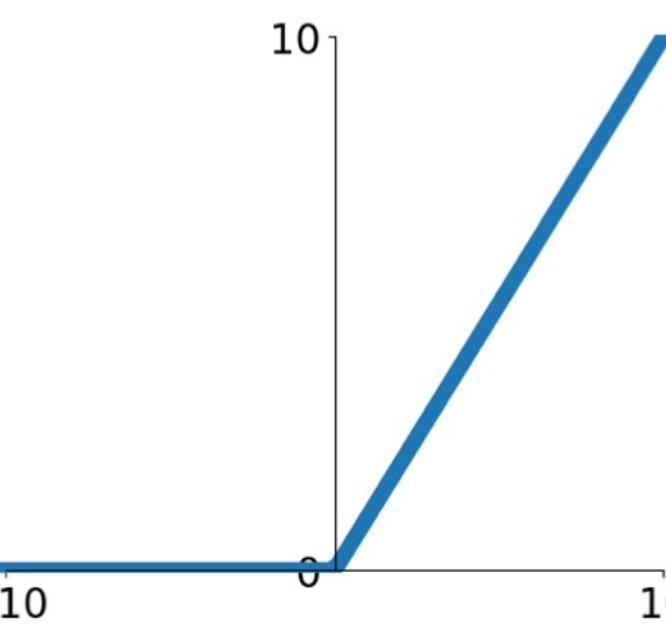
## Pooling Layers



## Fully-Connected Layers



## Activation Function



## Normalization

$$\hat{x}_{i,j} = \frac{x_{i,j} - \mu_j}{\sqrt{\sigma_j^2 + \epsilon}}$$



# Overview

## 1. One time setup:

- Activation functions, data preprocessing, weight initialization, regularization

## 2. Training dynamics:

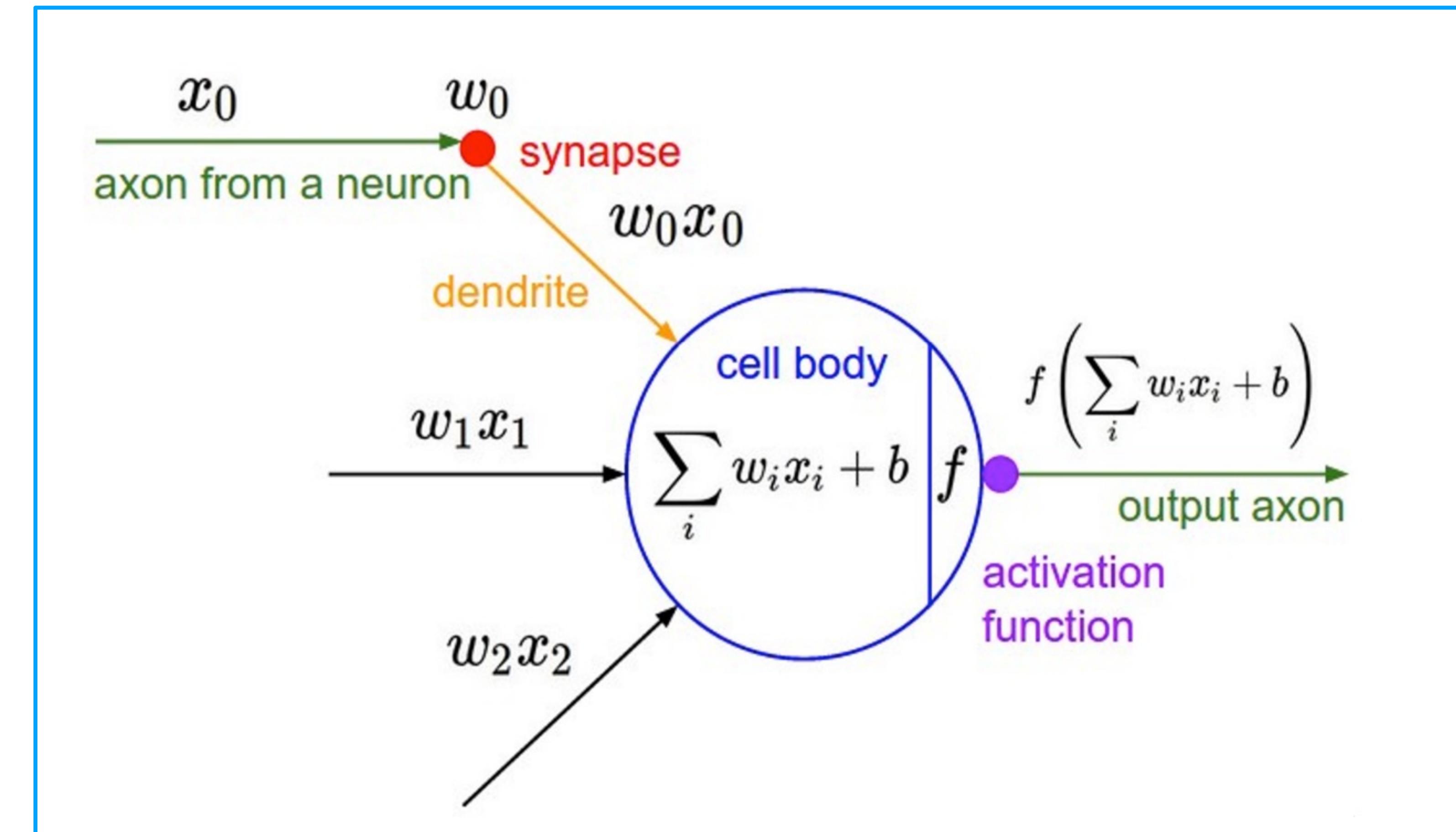
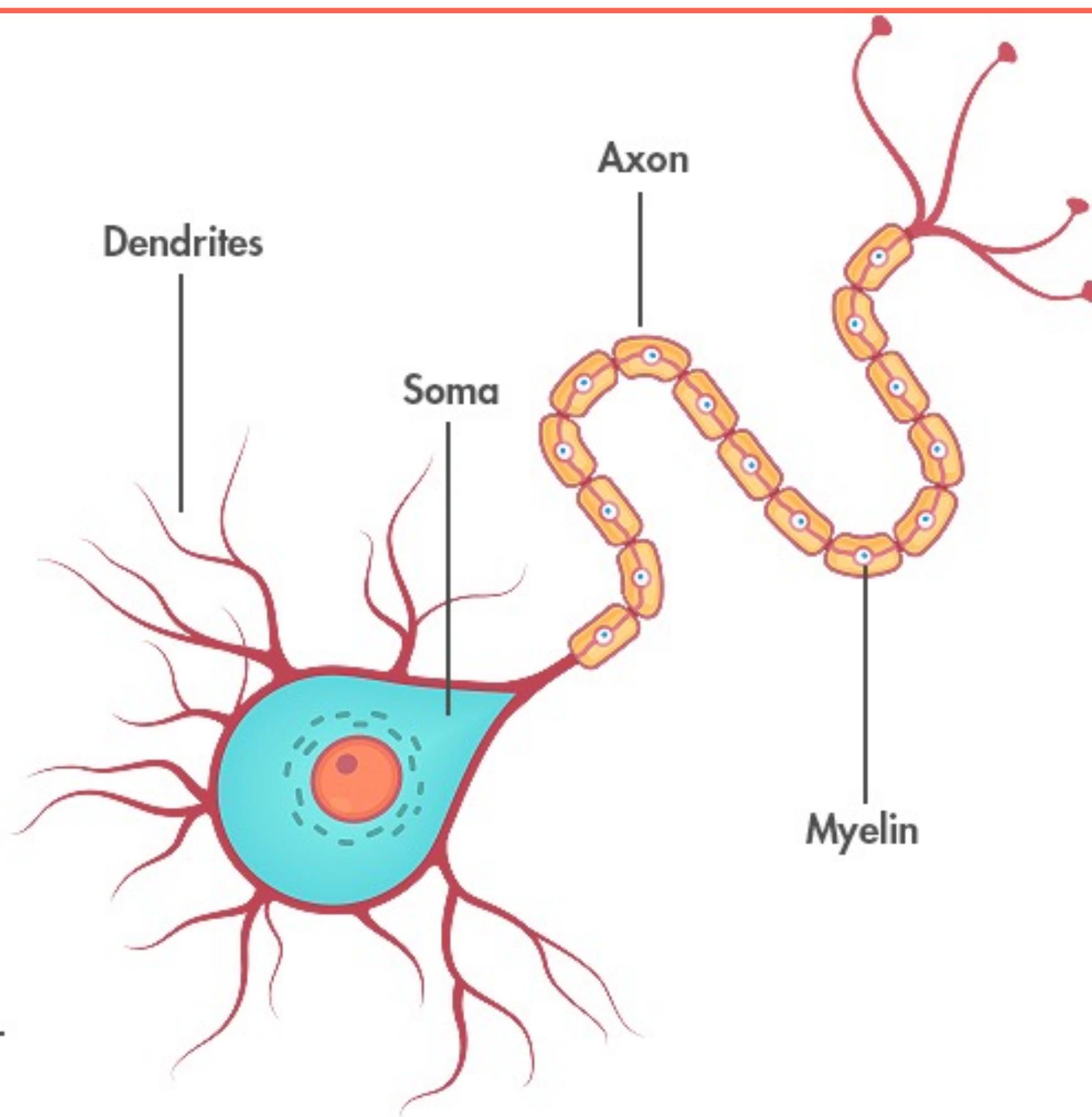
- Learning rate schedules; large-batch training; hyperparameter optimization

## 3. After training:

- Model ensembles, transfer learning



# Activation Functions





# Dance Moves of Deep Learning Activation Functions

<https://sefiks.com/2020/02/02/dance-moves-of-deep-learning-activation-functions/>

Sigmoid



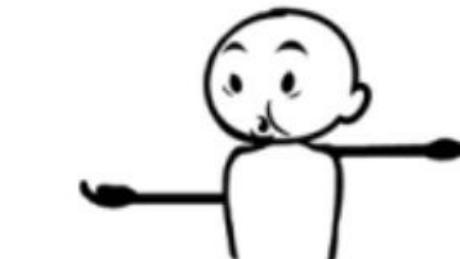
$$y = \frac{1}{1+e^{-x}}$$

Tanh



$$y = \tanh(x)$$

Step Function



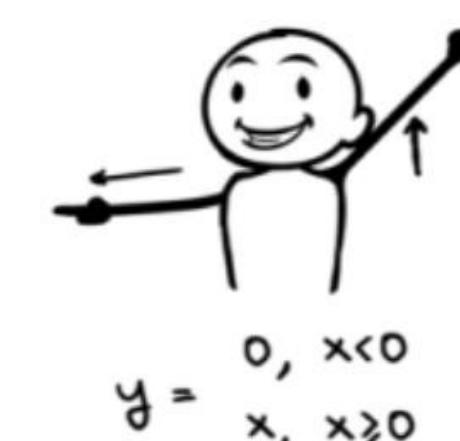
$$y = \begin{cases} 0, & x < n \\ 1, & x \geq n \end{cases}$$

Softplus



$$y = \ln(1+e^x)$$

ReLU



$$y = \begin{cases} 0, & x < 0 \\ x, & x \geq 0 \end{cases}$$

Softsign



$$y = \frac{x}{(1+|x|)}$$

ELU



$$y = \begin{cases} \alpha(e^x - 1), & x < 0 \\ x, & x \geq 0 \end{cases}$$

Log of Sigmoid



$$y = \ln\left(\frac{1}{1+e^{-x}}\right)$$

Swish



$$y = \frac{x}{1+e^{-x}}$$

Sinc



$$y = \frac{\sin(x)}{x}$$

Leaky ReLU



$$y = \max(0.1x, x)$$

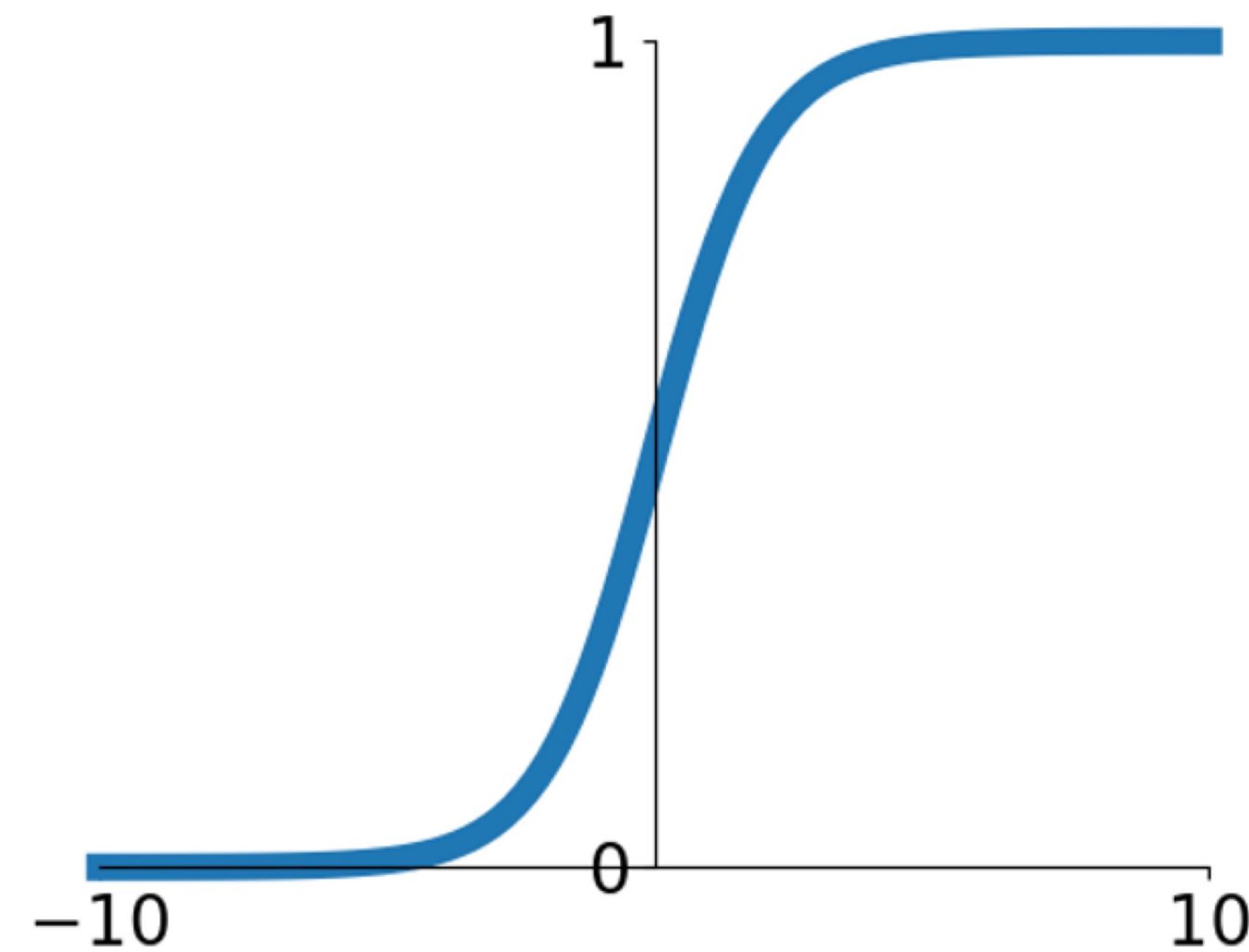
Mish



$$y = x(\tanh(\text{softplus}(x)))$$



# Activation Functions: Sigmoid



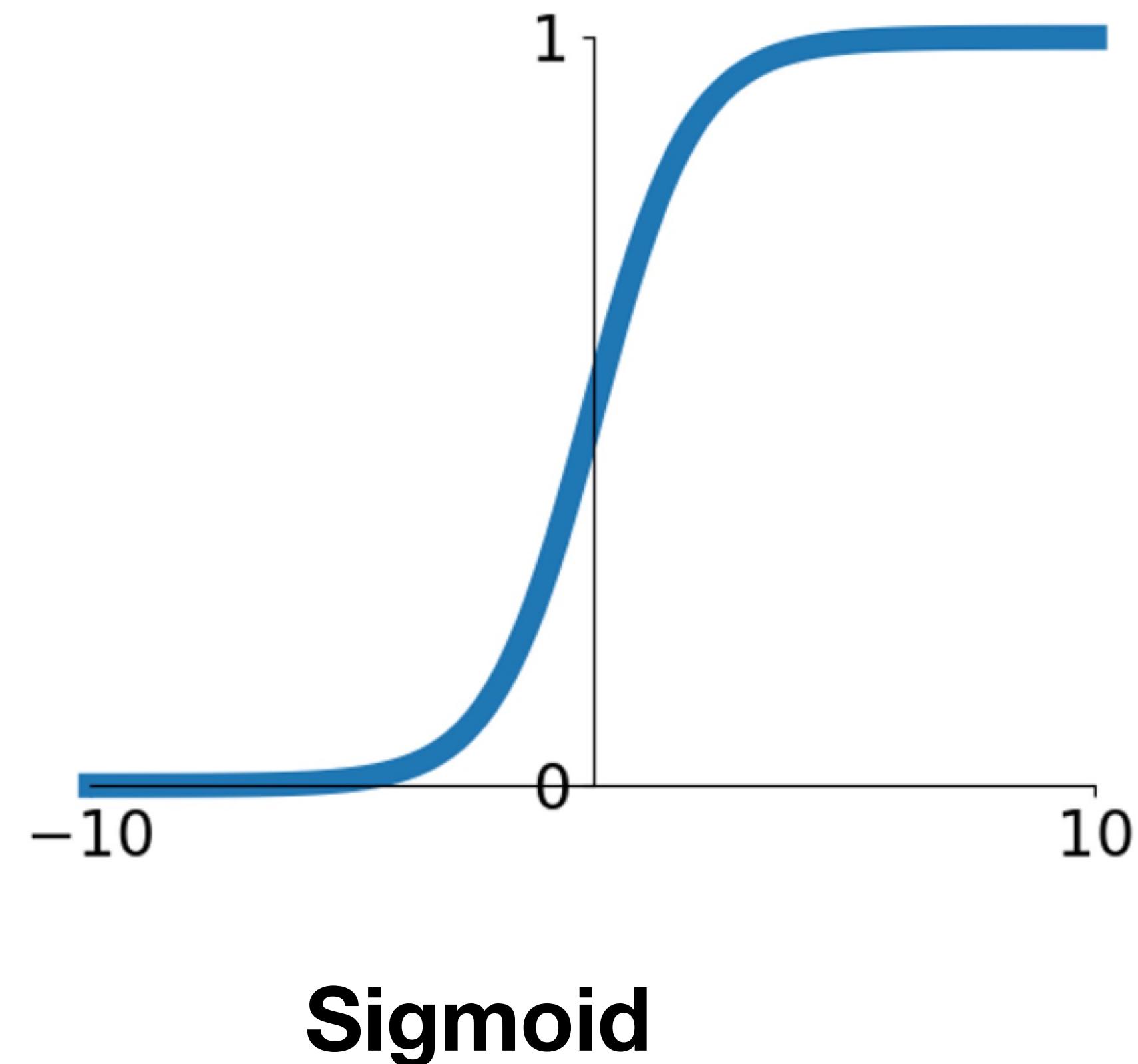
Sigmoid

$$\sigma(x) = \frac{1}{1 + e^{-x}}$$

- Squashes numbers to range [0, 1]
- Historically popular since they have nice interpretation as a saturating “firing rate” of a neuron



# Activation Functions: Sigmoid



$$\sigma(x) = \frac{1}{1 + e^{-x}}$$

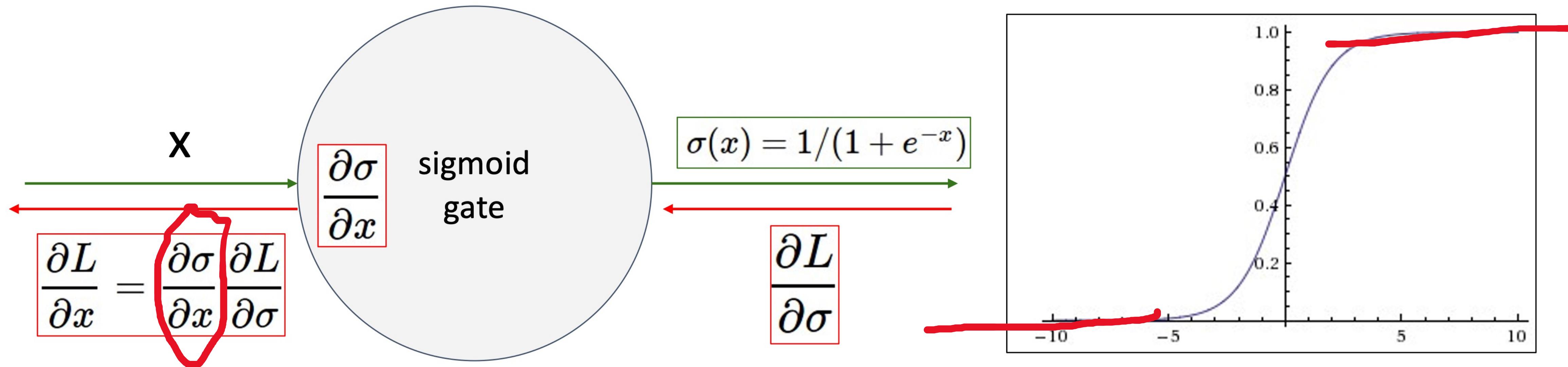
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3 problems:

1. **Saturated neurons “kill” the gradients**



# Activation Functions: Sigmoid

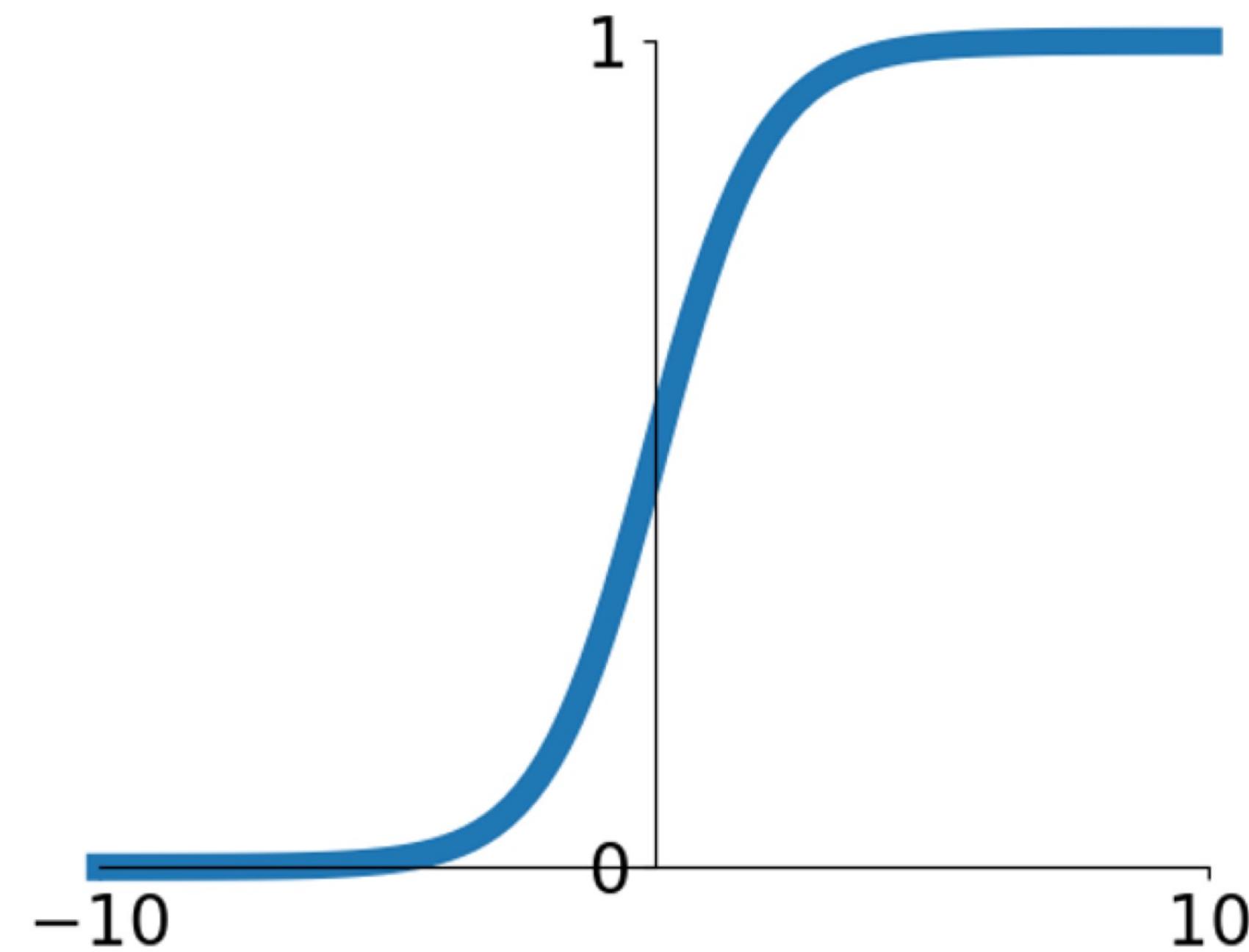


- What happens when  $x = -10$ ?
- What happens when  $x = 10$ ?

“sigmoid saturation problem”



# Activation Functions: Sigmoid



Sigmoid

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- Squashes numbers to range [0, 1]
- Historically popular since they have nice interpretation as a saturating “firing rate” of a neuron

3 problems:

1. Saturated neurons “kill” the gradients
2. Sigmoid outputs are not zero-centered



# Activation Functions: Sigmoid

---

Consider what happens when nonlinearity is always positive

$$h_i^{(\ell)} = \sum_j w_{i,j}^{(\ell)} \sigma(h_j^{\ell-1}) + b_i^{(\ell)}$$

$h_i^{(\ell)}$  is the  $i$ th element of the hidden layer at layer  $\ell$  (before activation)

$w^{(\ell)}, b^{(\ell)}$  are the weights and bias of layer  $\ell$

What can we say about the gradients on  $w^{(\ell)}$ ?



# Activation Functions: Sigmoid

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What can we say about the gradients on  $w^{(\ell)}$ ?

Local gradient	Upstream gradient
----------------	-------------------

$$\frac{\partial L}{\partial w_{i,j}^{(\ell)}} = \frac{\partial h_i^{(\ell)}}{\partial w_{i,j}^{(\ell)}} \cdot \frac{\partial L}{\partial h_i^{(\ell)}}$$



# Activation Functions: Sigmoid

Consider what happens when nonlinearity is always positive

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Gradients on all  $w_{i,j}^{(\ell)}$  have the same sign as upstream gradient  $\partial L / \partial h_i^{(\ell)}$

Local gradient	Upstream gradient
$\frac{\partial L}{\partial w_{i,j}^{(\ell)}}$	$= \frac{\partial h_i^{(\ell)}}{\partial w_{i,j}^{(\ell)}} \cdot \frac{\partial L}{\partial h_i^{(\ell)}}$
$= \sigma(h_j^{(\ell-1)})$	$\cdot \frac{\partial L}{\partial h_i^{(\ell)}}$



# Activation Functions: Sigmoid

Consider what happens when nonlinearity is always positive

$$h_i^{(\ell)} = \sum_j w_{i,j}^{(\ell)} \sigma(h_j^{(\ell-1)}) + b_i^{(\ell)}$$

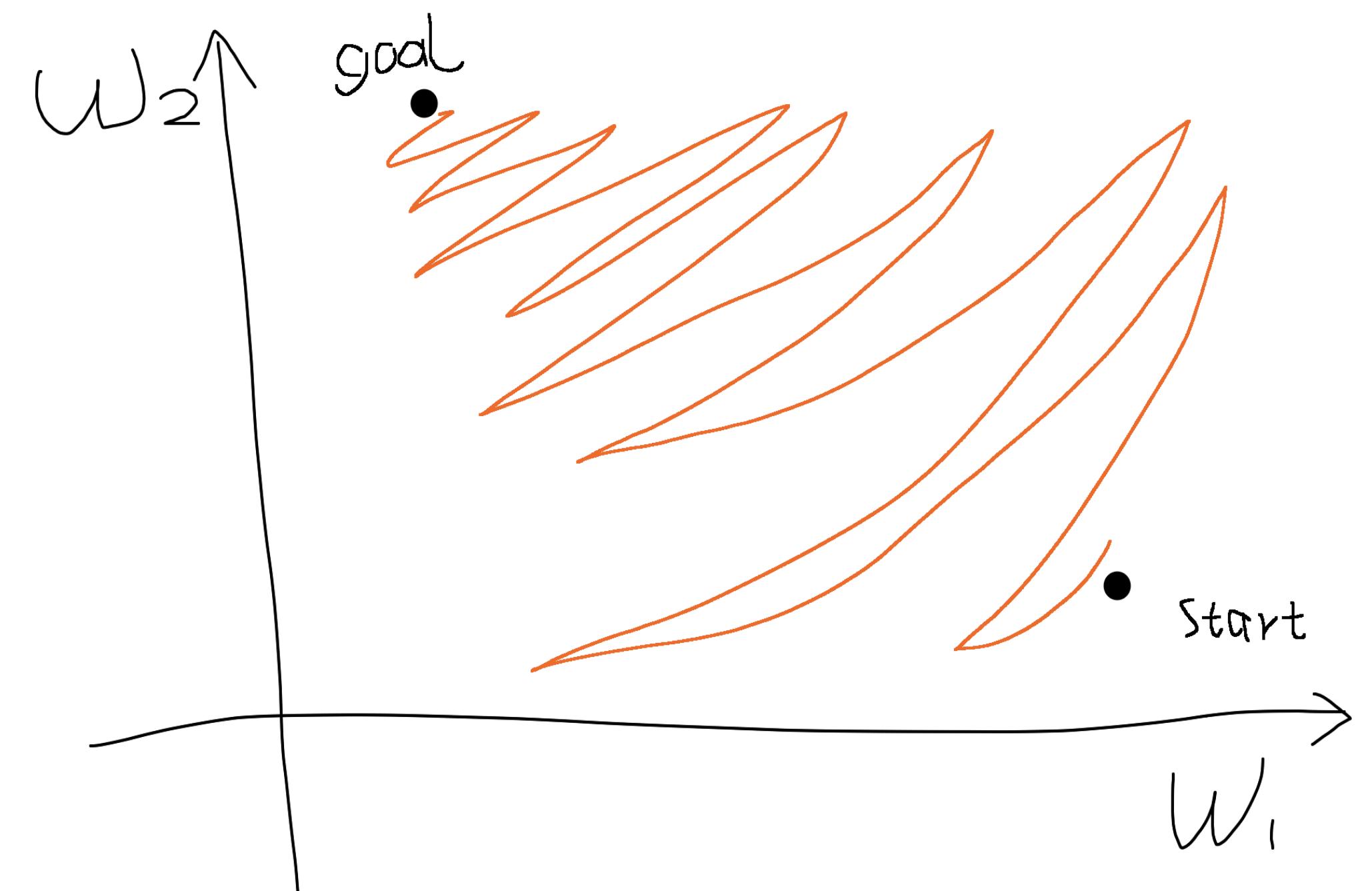
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What can we say about the gradients on  $w^{(\ell)}$ ?

Gradients on all  $w_{i,j}^{(\ell)}$  have the same sign as upstream

gradient  $\partial L / \partial h_i^{(\ell)}$



“zig-zagging dynamics”



# Activation Functions: Sigmoid

Consider what happens when nonlinearity is always positive

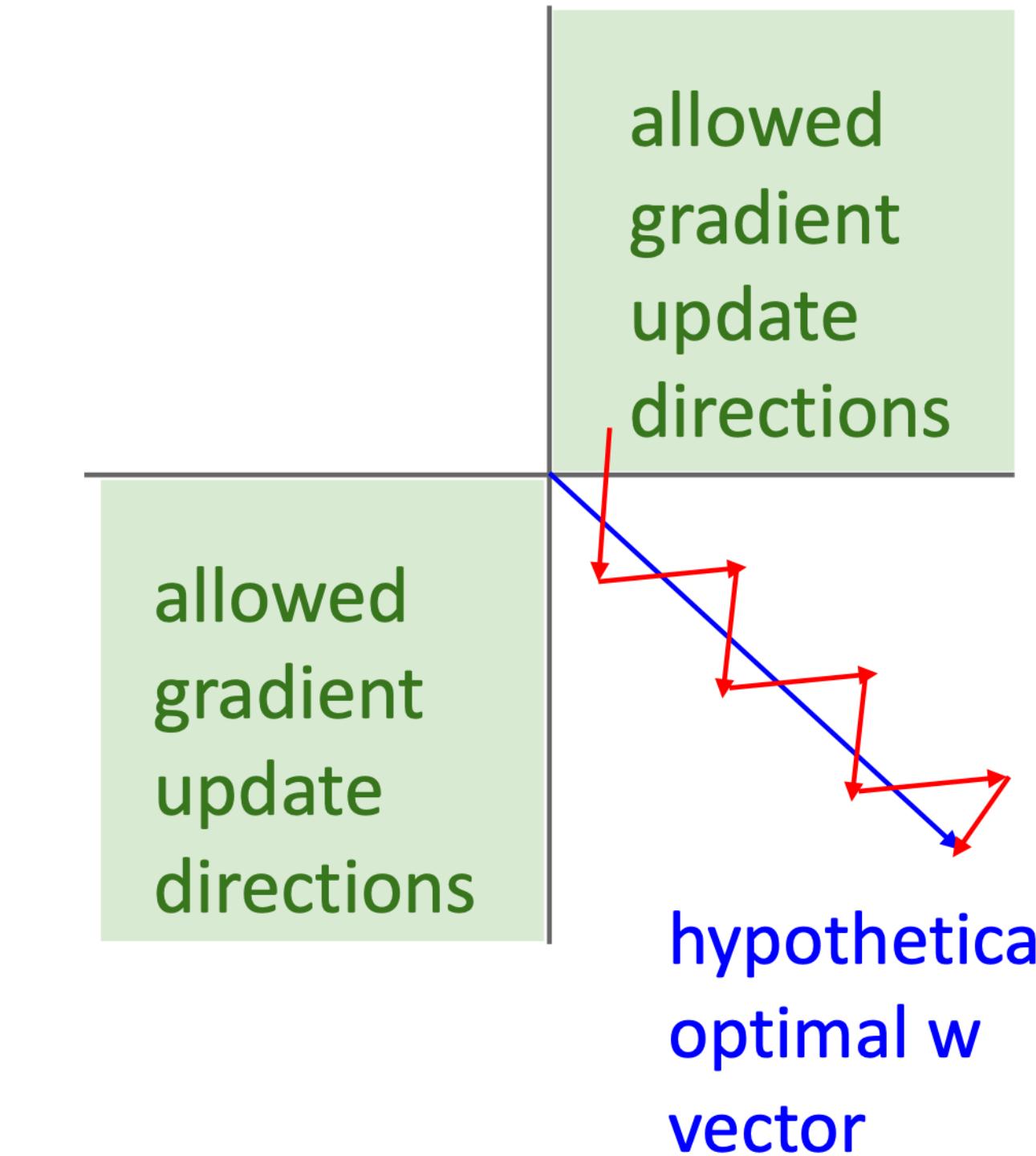
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What can we say about the gradients on  $w^{(\ell)}$ ?

Gradients on all  $w_{i,j}^{(\ell)}$  have the same sign as upstream gradient  $\partial L / \partial h_i^{(\ell)}$



Gradients on rows of  $w$  can only point in some directions; needs to “zigzag” to move in other directions



# Activation Functions: Sigmoid

Consider what happens when nonlinearity is always positive

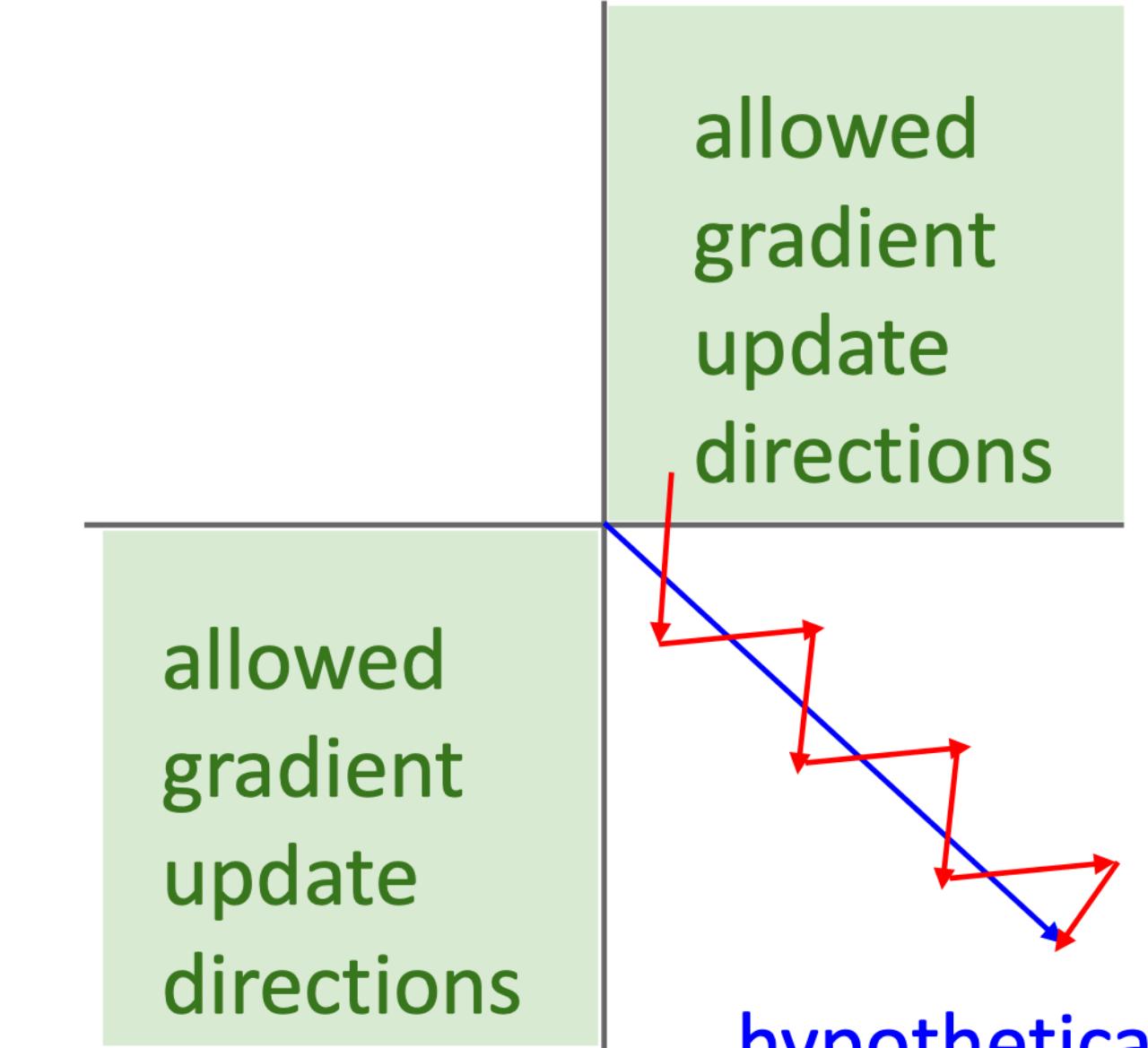
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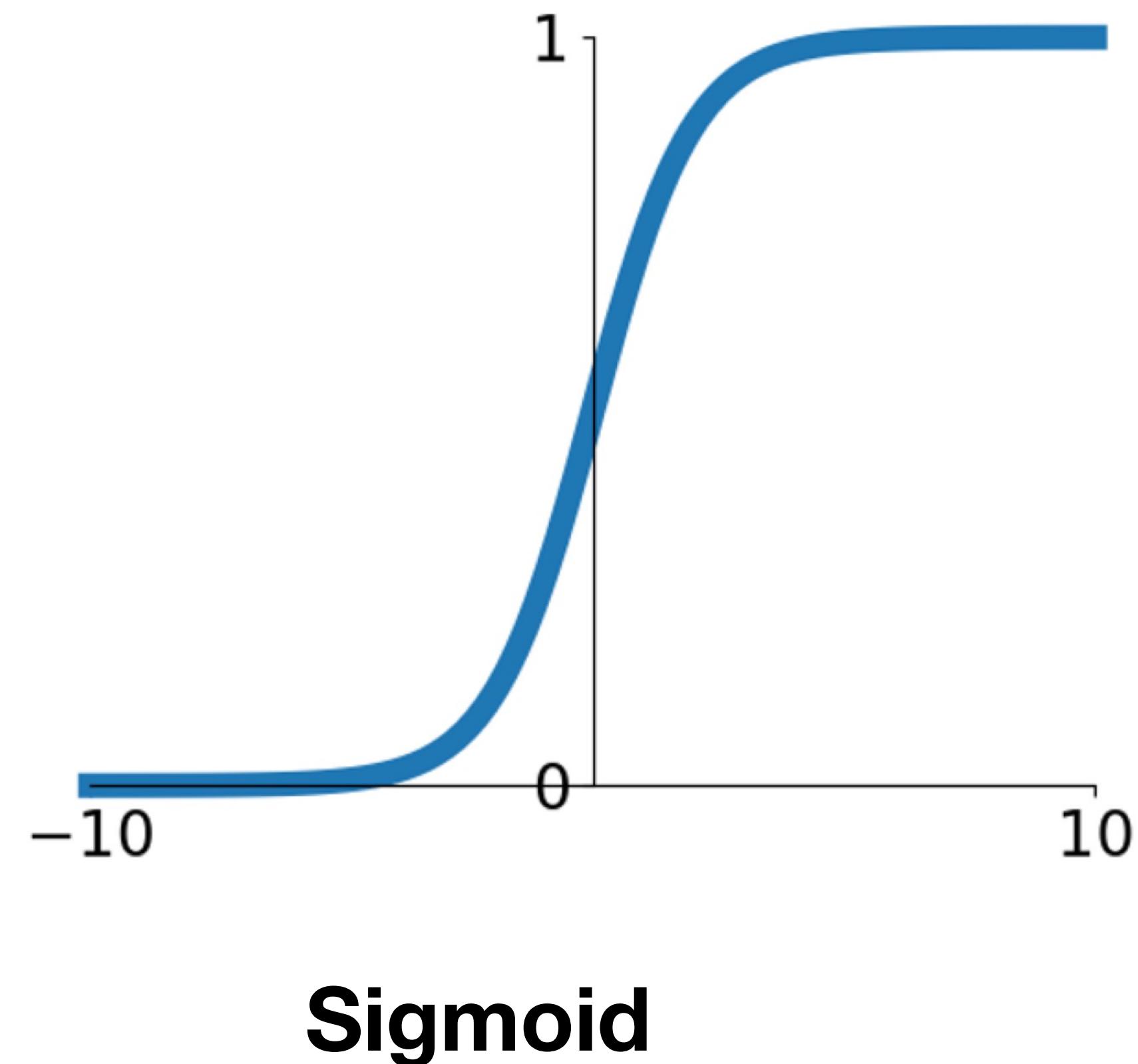


Not that bad in practice:

- Only true for a single example, mini batches help
- BatchNorm can also avoid this



# Activation Functions: Sigmoid



$$\sigma(x) = \frac{1}{1 + e^{-x}}$$

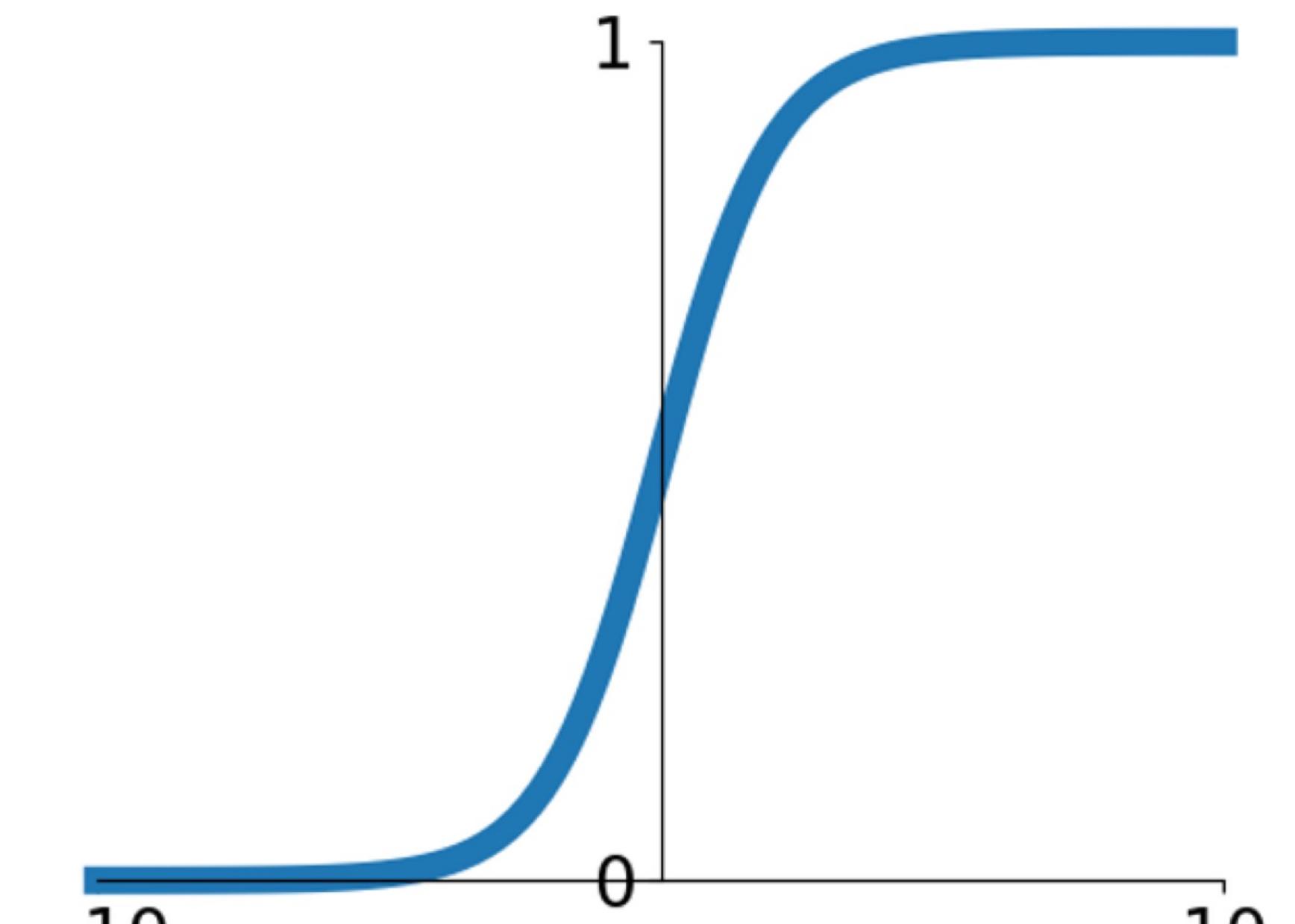
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- Historically popular since they have nice interpretation as a saturating “firing rate” of a neuron

3 problems:

1. Saturated neurons “kill” the gradients
2. Sigmoid outputs are not zero-centered
3. `exp()` is a bit compute expensive



# Activation Functions: Sigmoid



Sigmoid

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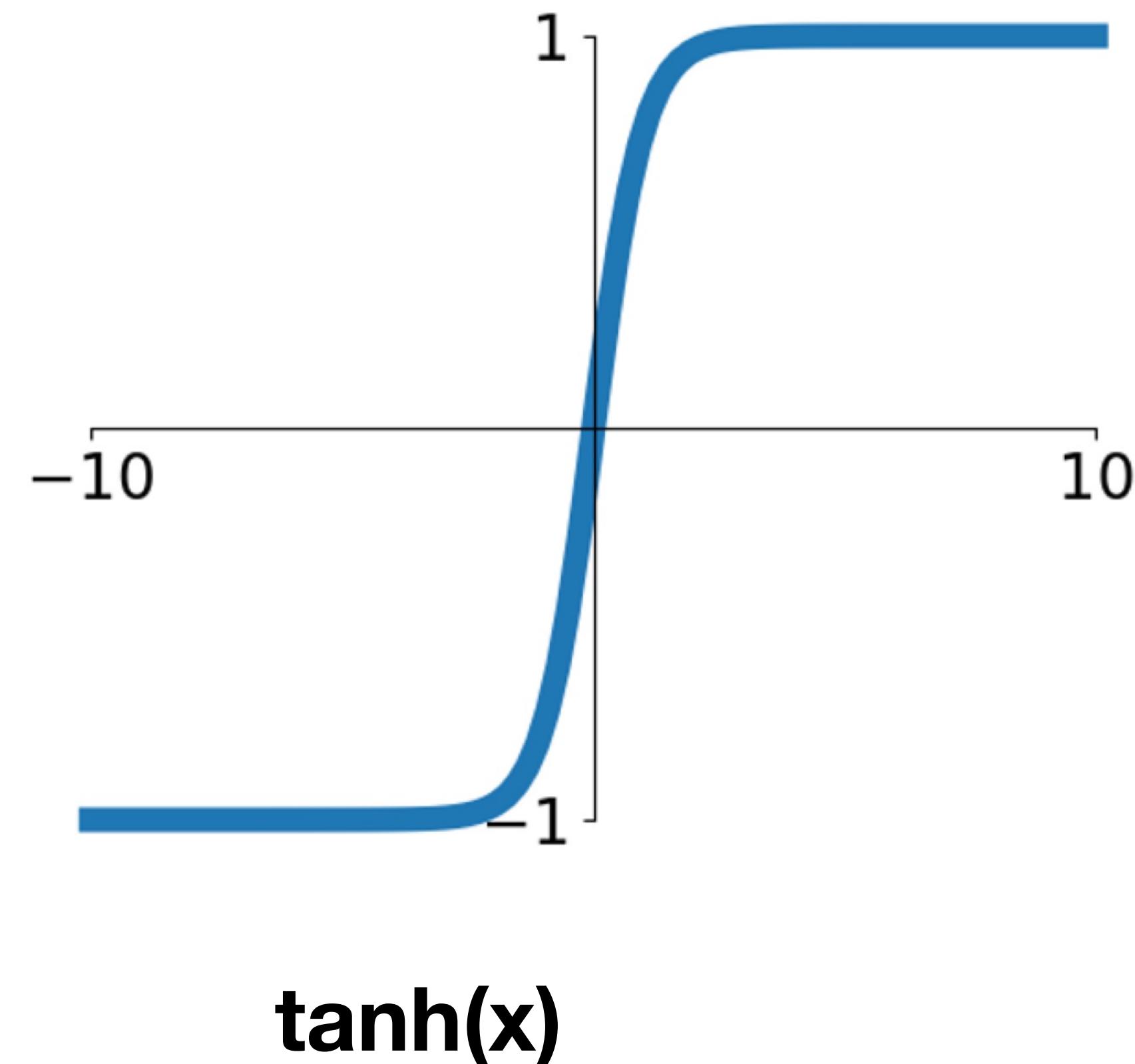
## Main issue in practice

1. **Saturated neurons “kill” the gradients**
2. Sigmoid outputs are not zero-centered
3. `exp()` is a bit compute expensive



# Activation Functions: tanh

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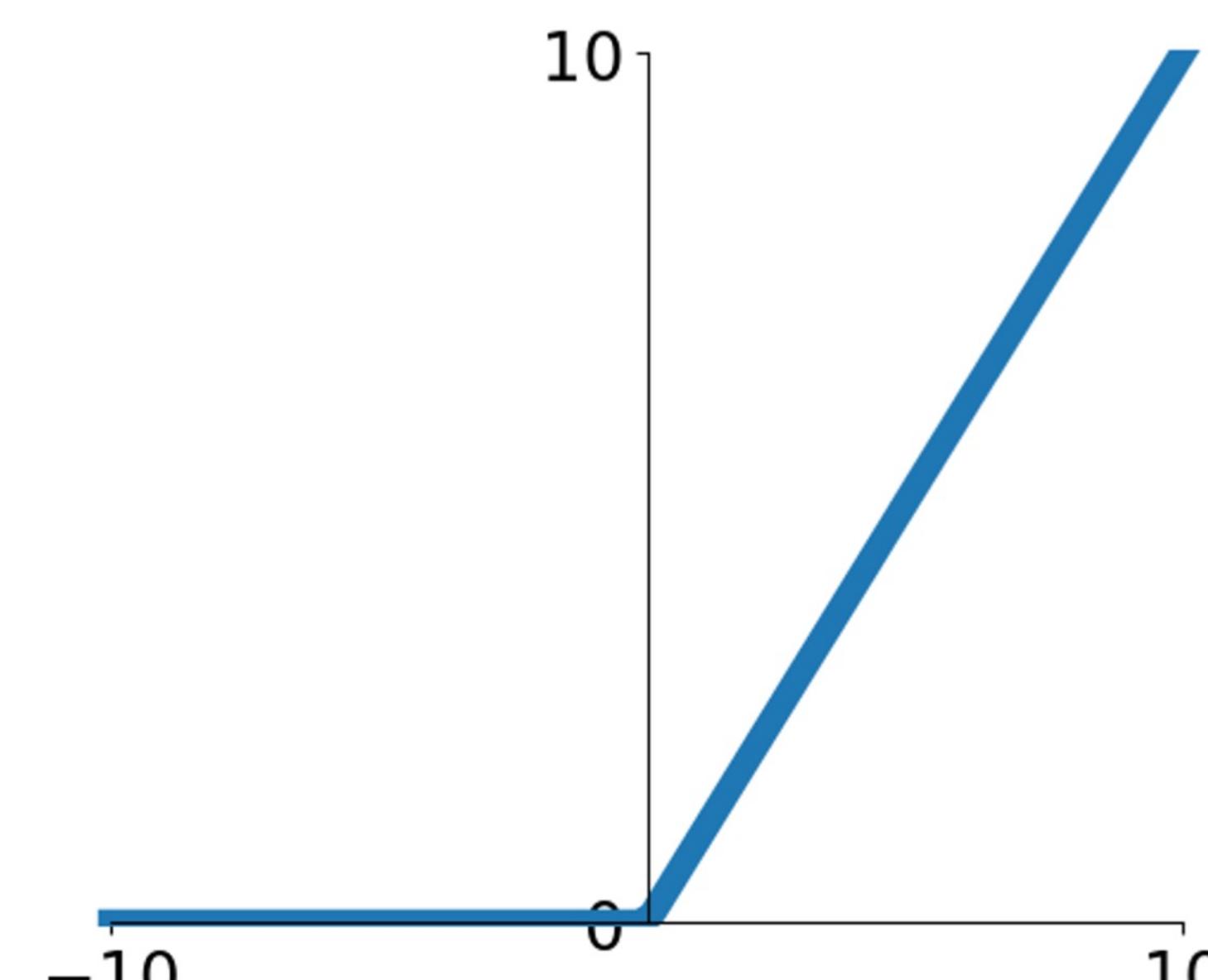


- Squashes numbers to range [-1, 1]
- Zero centered (nice)
- Still kills gradients when saturated :(



# Activation Functions: ReLU

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$$f(x) = \max(0, x)$$

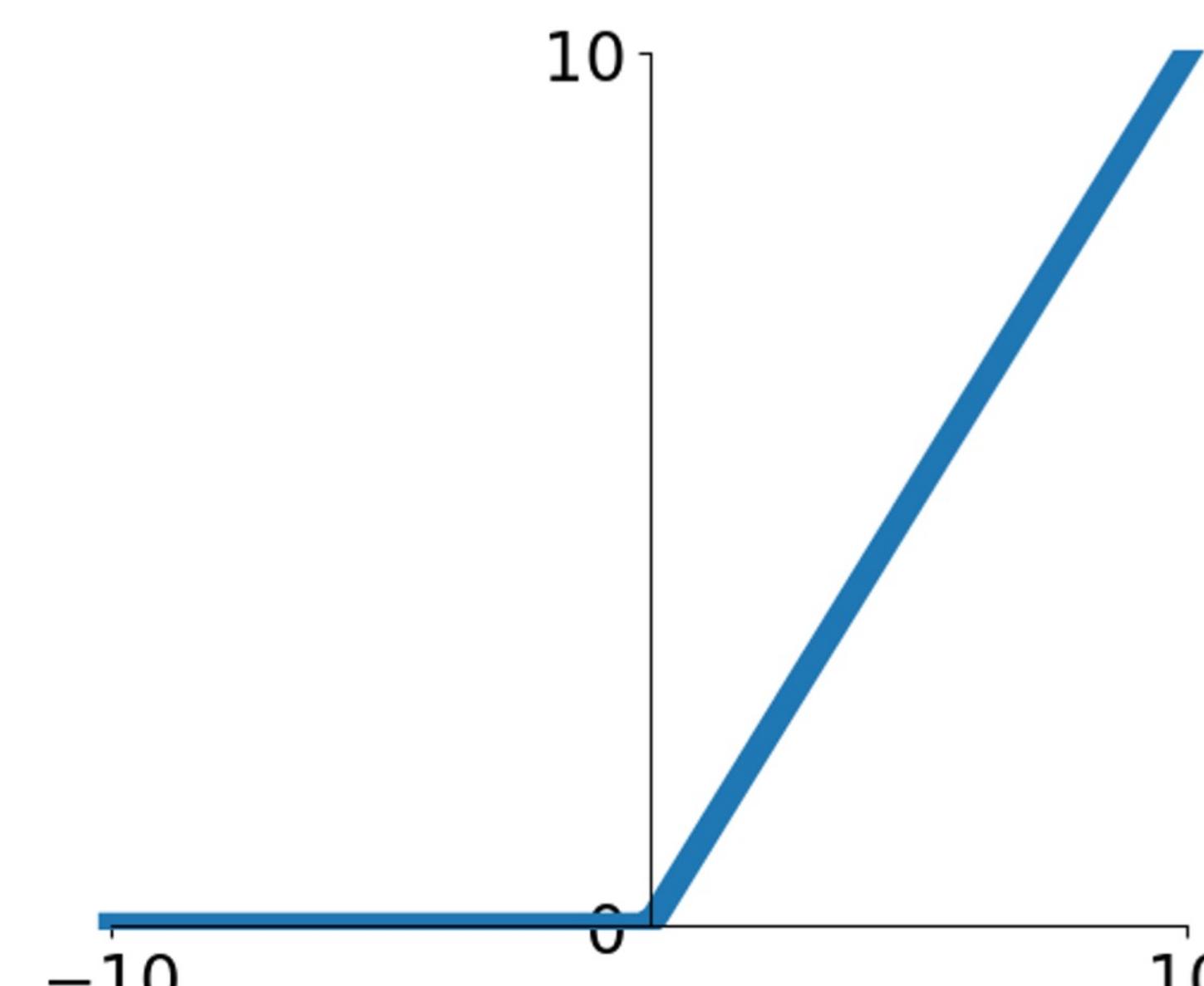
- Does not saturate (in +region)
- Very computationally efficient
- Converges much faster than sigmoid and tanh in practice (e.g. 6x)

(Rectified Linear Unit)



# Activation Functions: ReLU

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**ReLU**

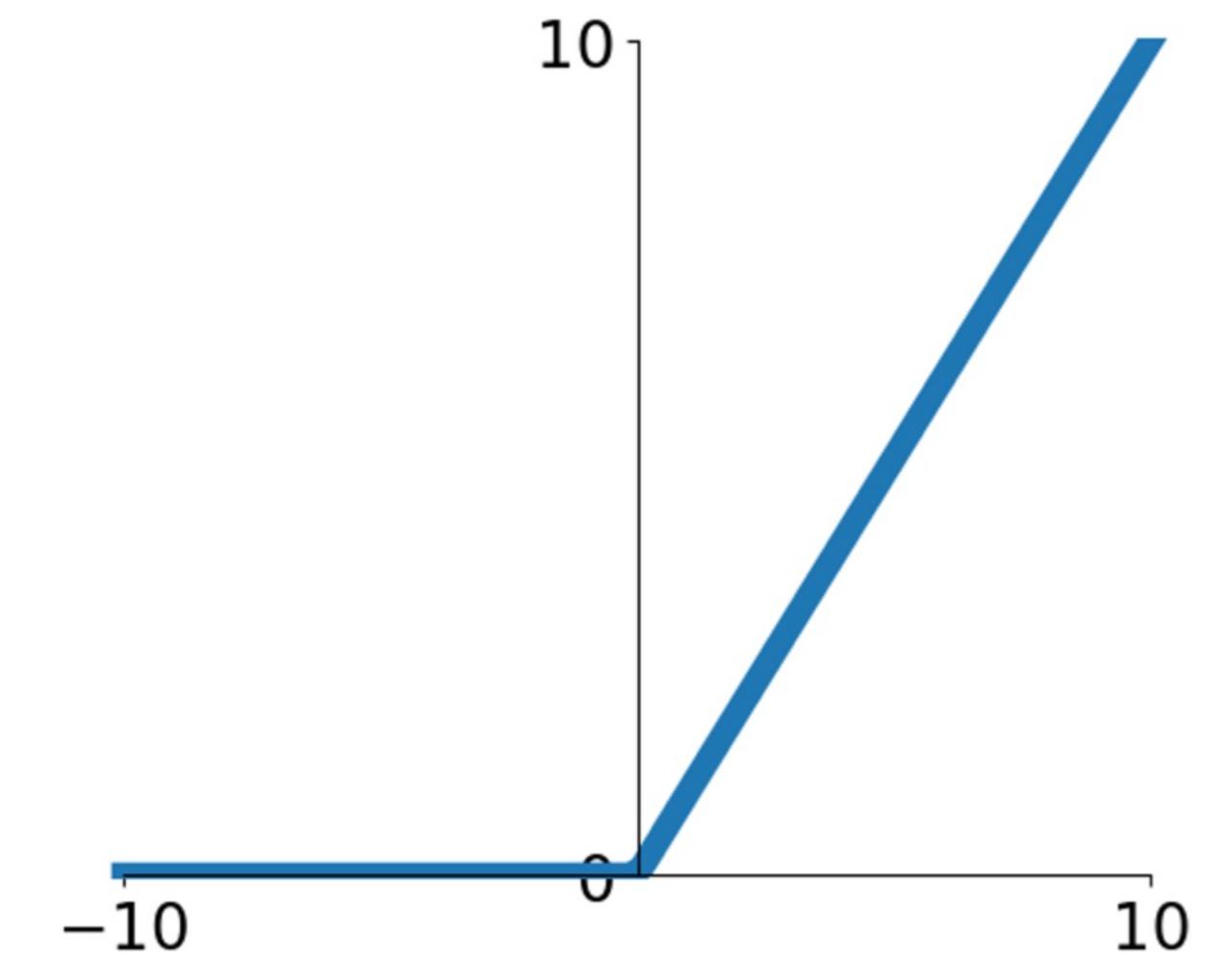
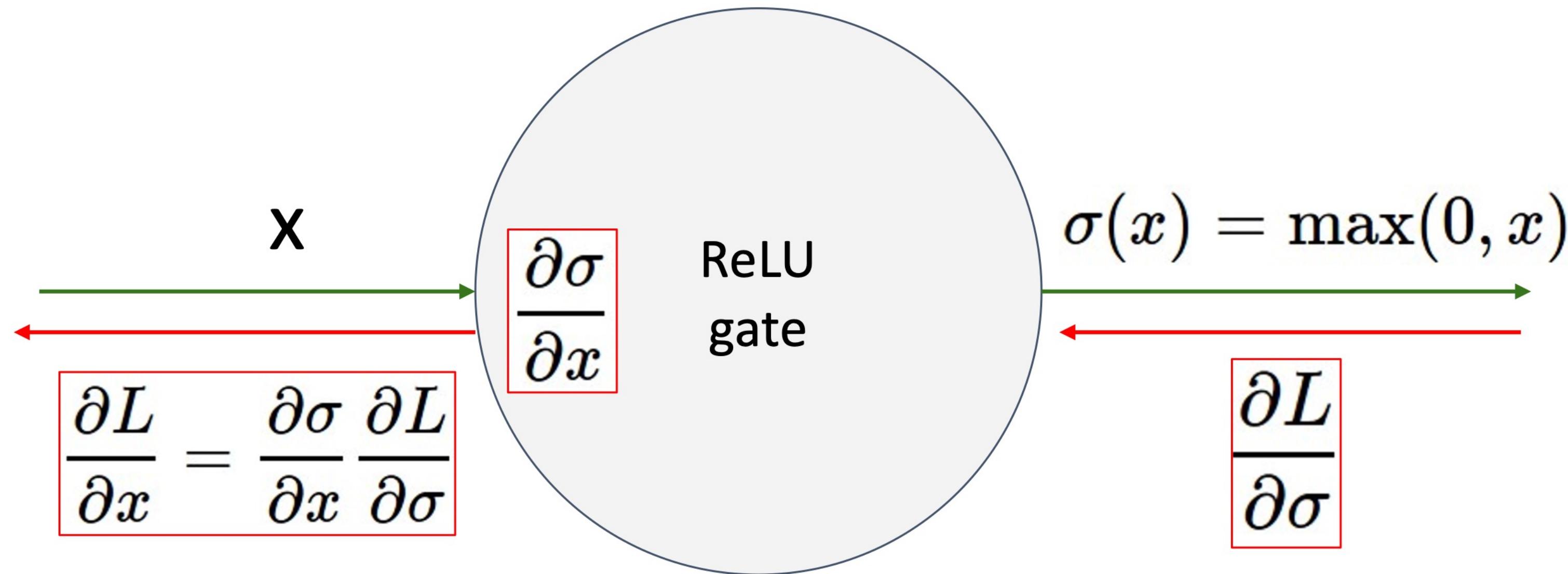
(Rectified Linear Unit)

- $$f(x) = \max(0, x)$$
- Does not saturate (in +region)
  - Very computationally efficient
  - Converges much faster than sigmoid and tanh in practice (e.g. 6x)
  - Not zero-centered output
  - An annoyance:

what is the gradient when  $x < 0$ ?



# Activation Functions: ReLU



- What happens when  $x = -10$ ?
- What happens when  $x = 10$ ?



ReLU units could “die”...

Data cloud

Active ReLU

Dead ReLU will never  
activate

=> never update



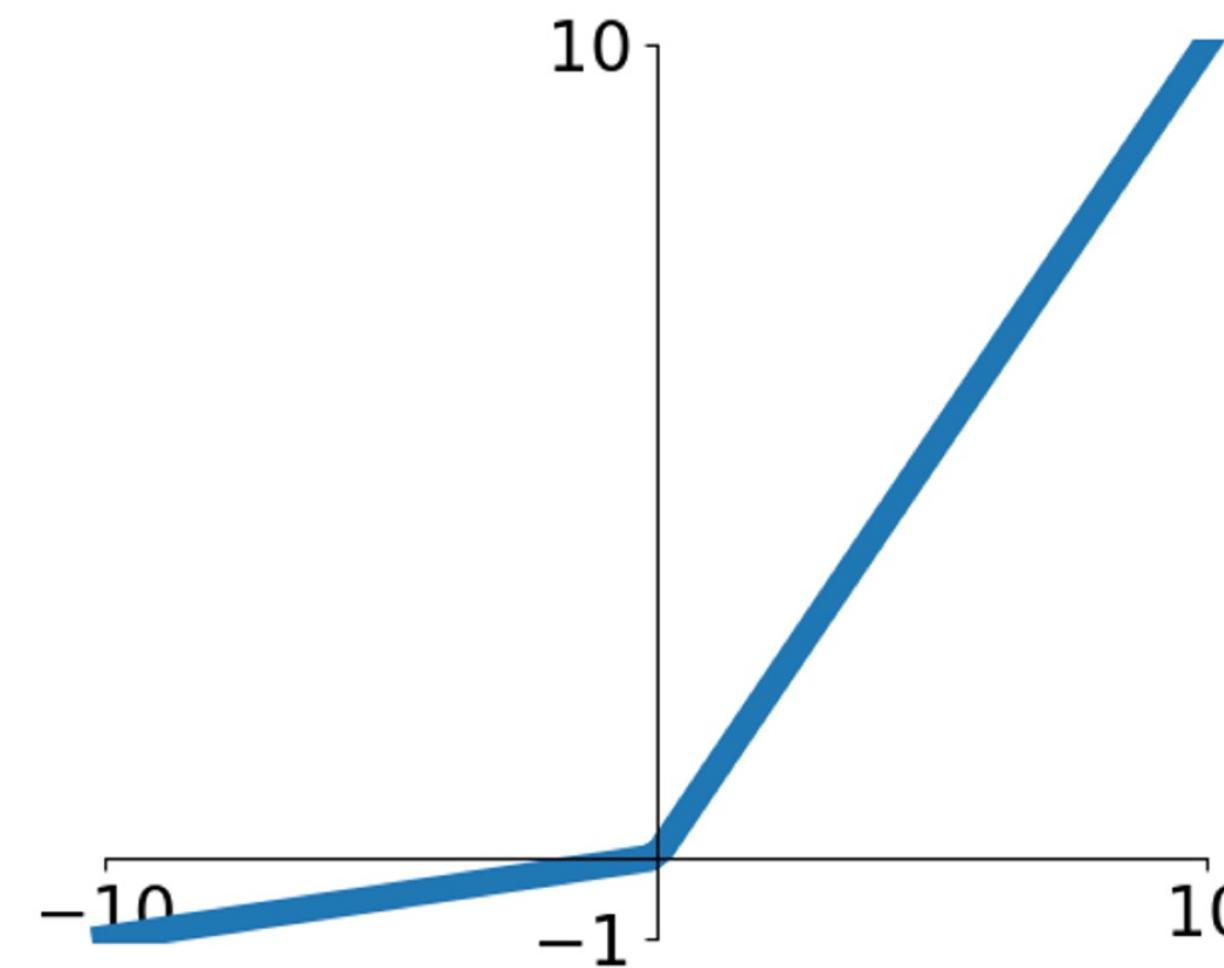
# Data cloud

=> Sometimes initialize  
ReLU neurons with slightly  
positive biases (e.g. 0.01)

Dead ReLU will never  
activate  
=> never update



# Activation Functions: Leaky ReLU



- Does not saturate
- Computationally efficient
- Converges much faster than sigmoid and tanh in practice (e.g. 6x)
- Will not “die”

## Leaky ReLU

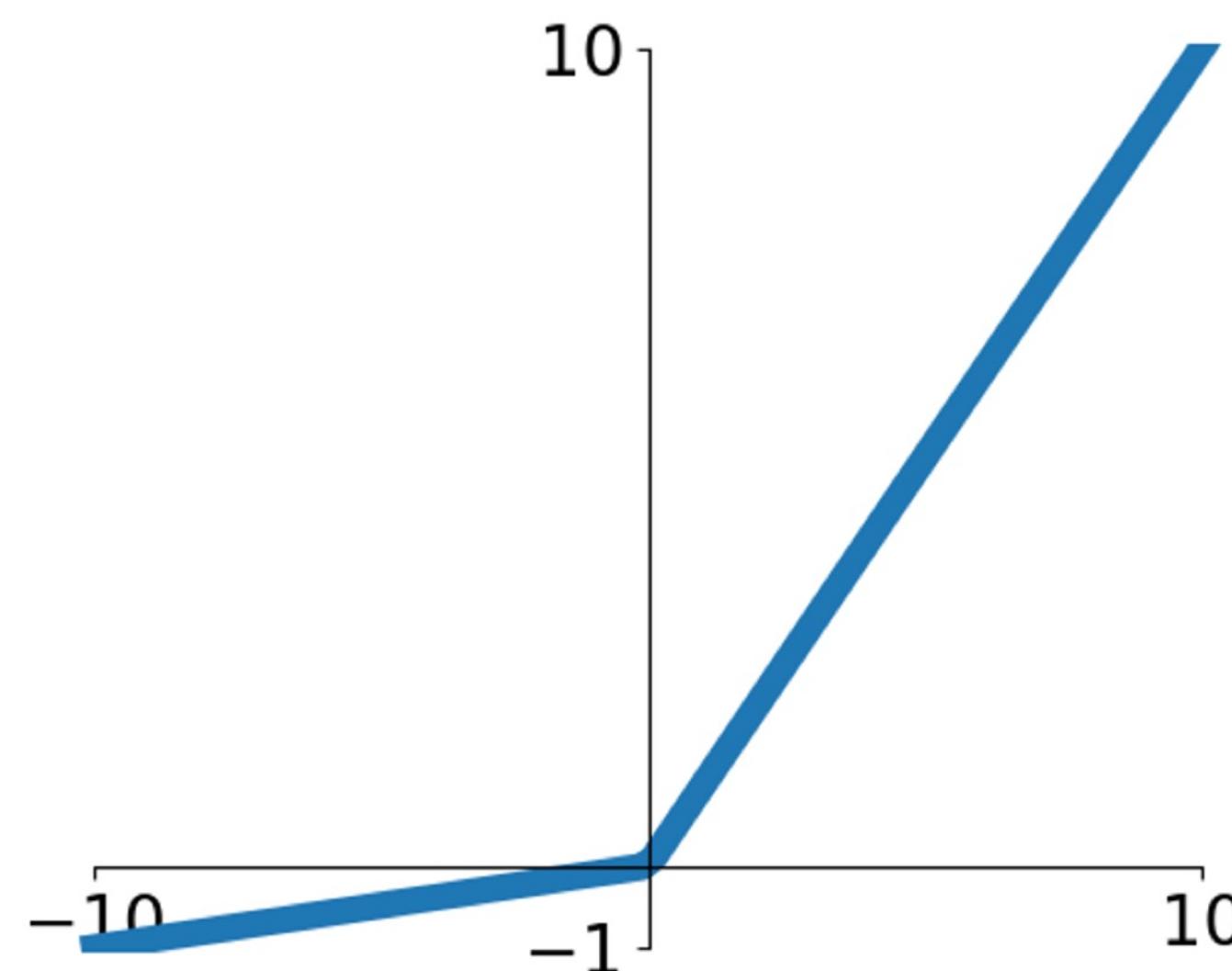
$$f(x) = \max(\alpha x, x)$$

$\alpha$  is a hyperparameter, often  $\alpha = 0.1$

Maas et al, “Rectifier Nonlinearities Improve Neural Network Acoustic Models”, ICML 2013



# Activation Functions: Leaky ReLU



## Leaky ReLU

$$f(x) = \max(\alpha x, x)$$

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Maas et al, "Rectifier Nonlinearities Improve Neural Network Acoustic Models", ICML 2013

- Does not saturate
- Computationally efficient
- Converges much faster than sigmoid and tanh in practice (e.g. 6x)
- Will not “die”

## Parametric ReLU (PReLU)

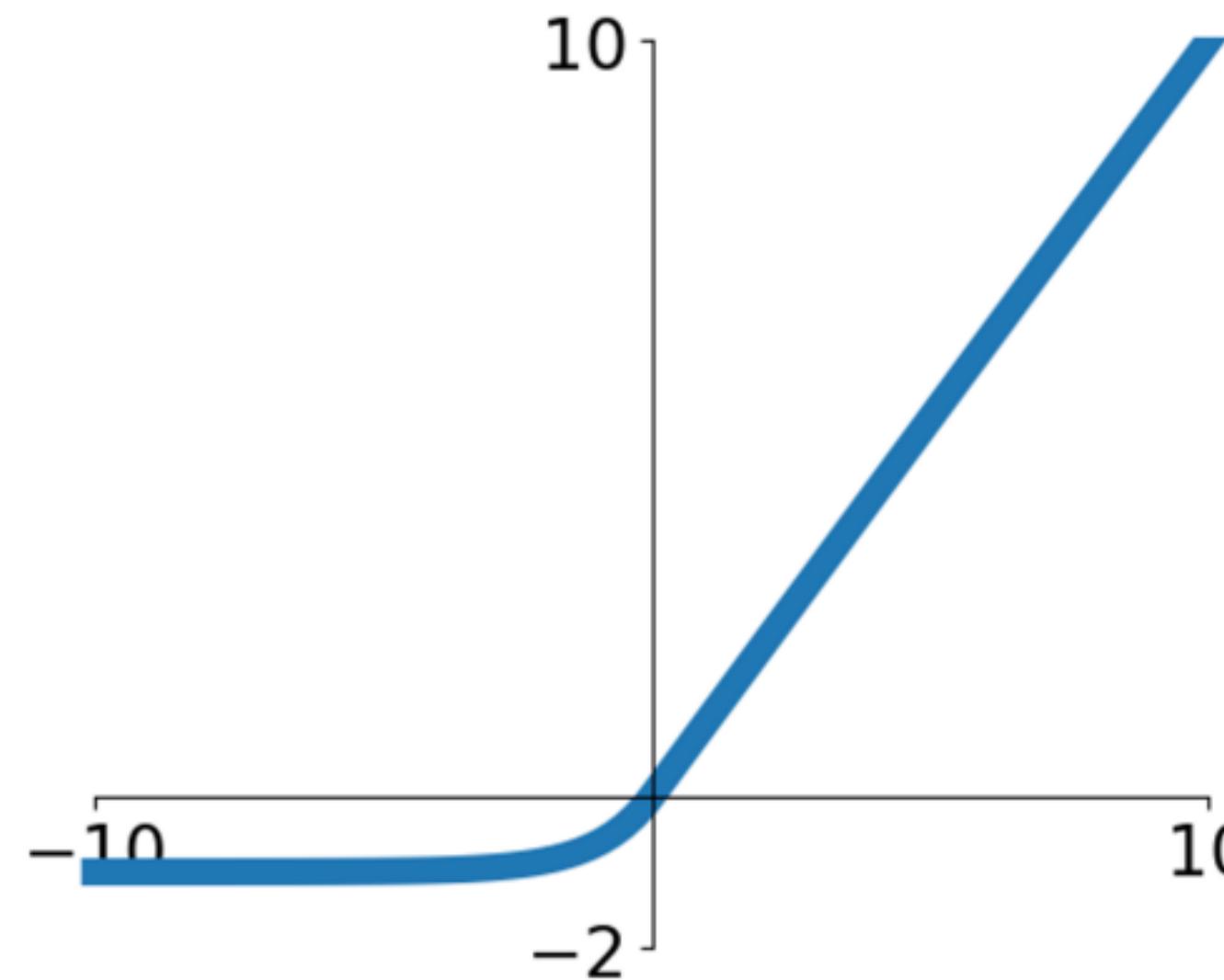
$$f(x) = \max(\alpha x, x)$$

$\alpha$  is learned via backprop

He et al, "Delving Deep into Rectifiers: Surpassing Human- Level Performance on ImageNet Classification", ICCV 2015



# Activation Functions: Exponential Linear Unit (ELU)



$$f(x) = \begin{cases} x & \text{if } x > 0 \\ \alpha(e^x - 1) & \text{if } x \leq 0 \end{cases}$$

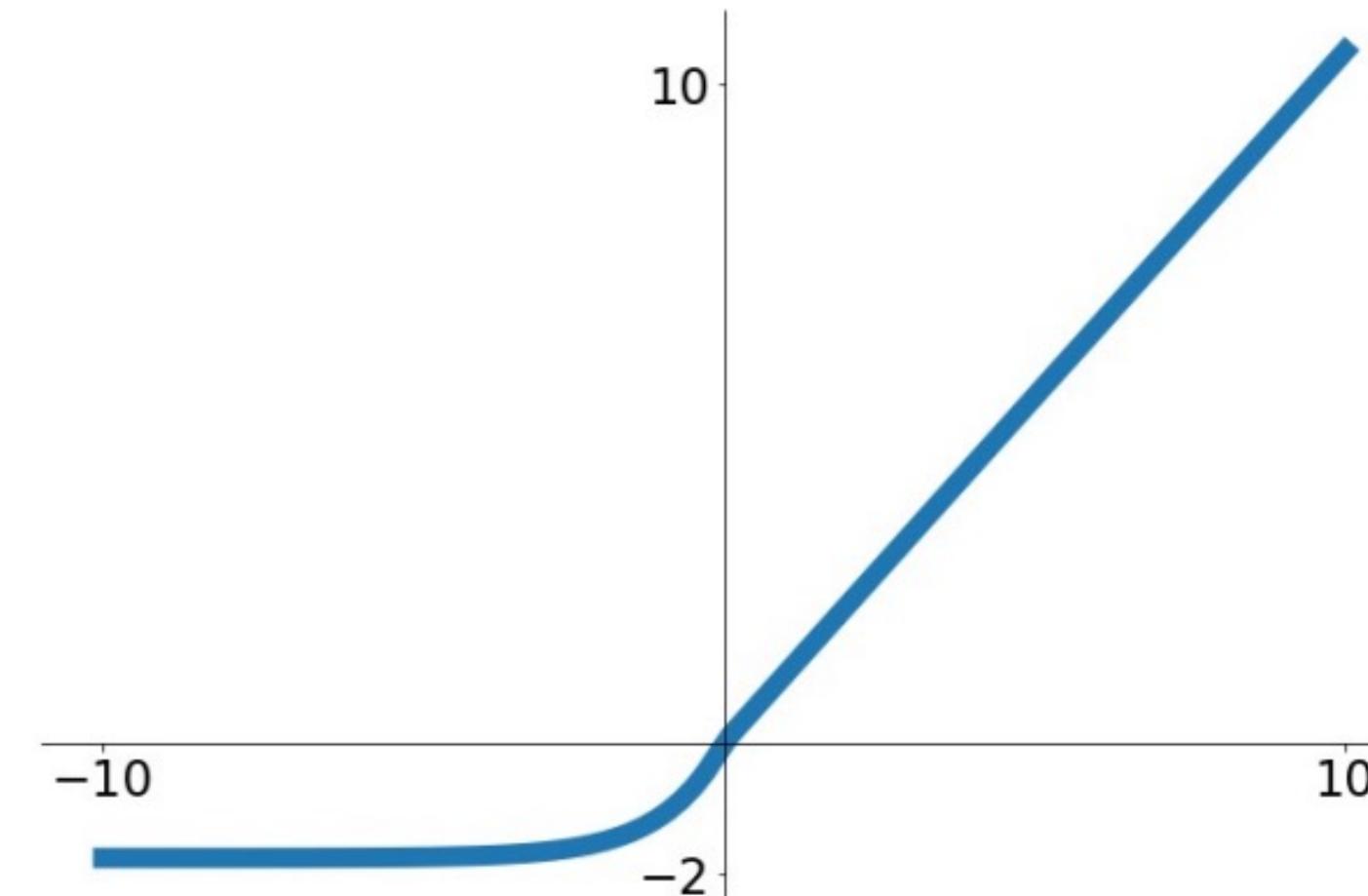
(Default  $\alpha = 1$ )

- All benefits of ReLU
- Closer to zero means outputs
- Negative saturation regime compared with Leaky ReLU adds some robustness to noise

- Computation requires `exp()`



# Activation Functions: Scale Exponential Linear Unit (SELU)



- Scaled version of ELU that works better for deep networks “Self-Normalizing” property; can train deep SELU networks without BatchNorm

$$selu(x) = \begin{cases} \lambda x & \text{if } x > 0 \\ \lambda \alpha(e^x - 1) & \text{if } x \leq 0 \end{cases}$$

$$\alpha = 1.6732632423543772848170429916717$$

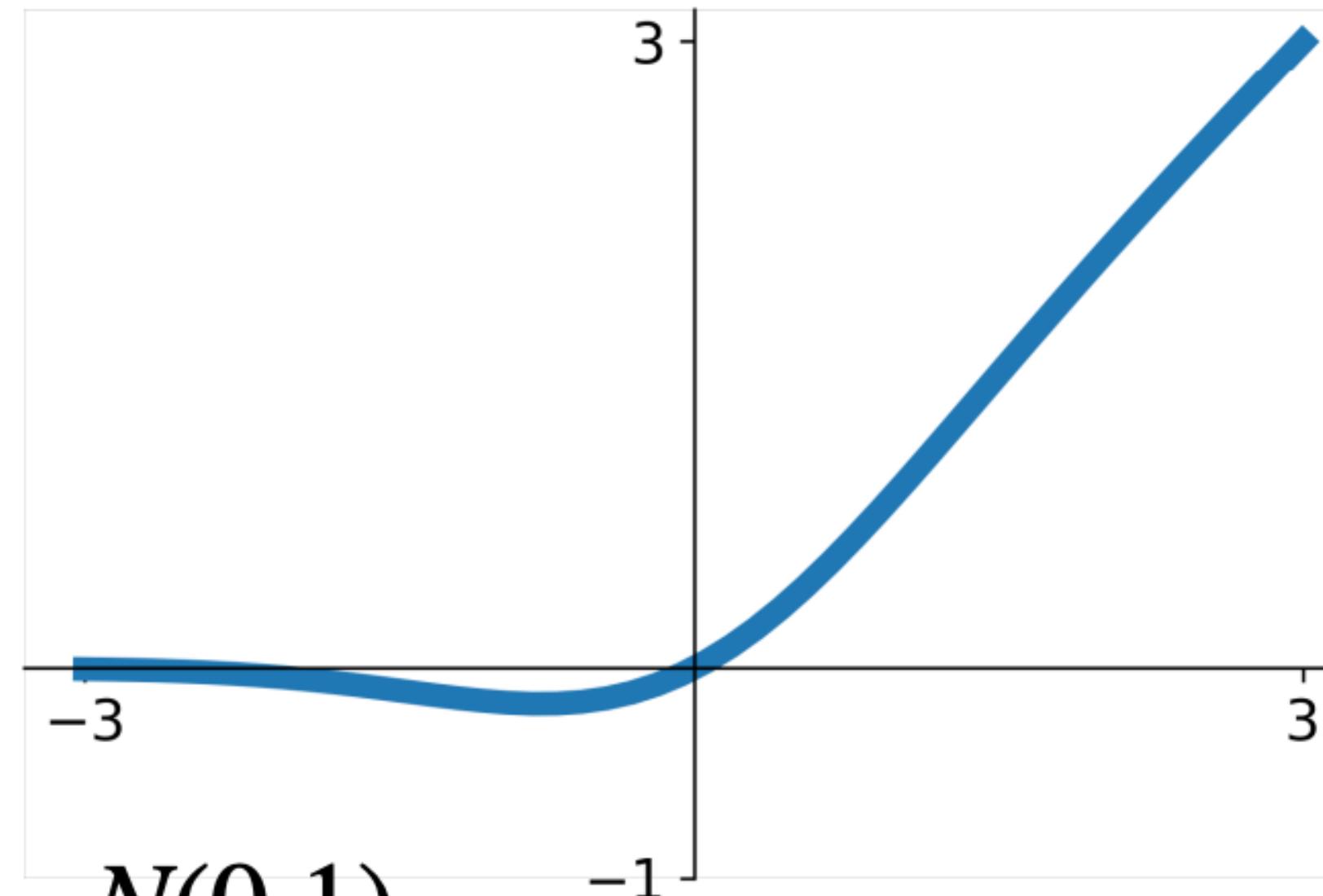
$$\lambda = 1.0507009873554804934193349852946$$

derivation see original paper (91 pages...)

Klambauer et al, Self-Normalizing Neural Networks, ICLR 2017



# Activation Functions: Gaussian Error Linear Unit (GELU)



$X \sim N(0,1)$

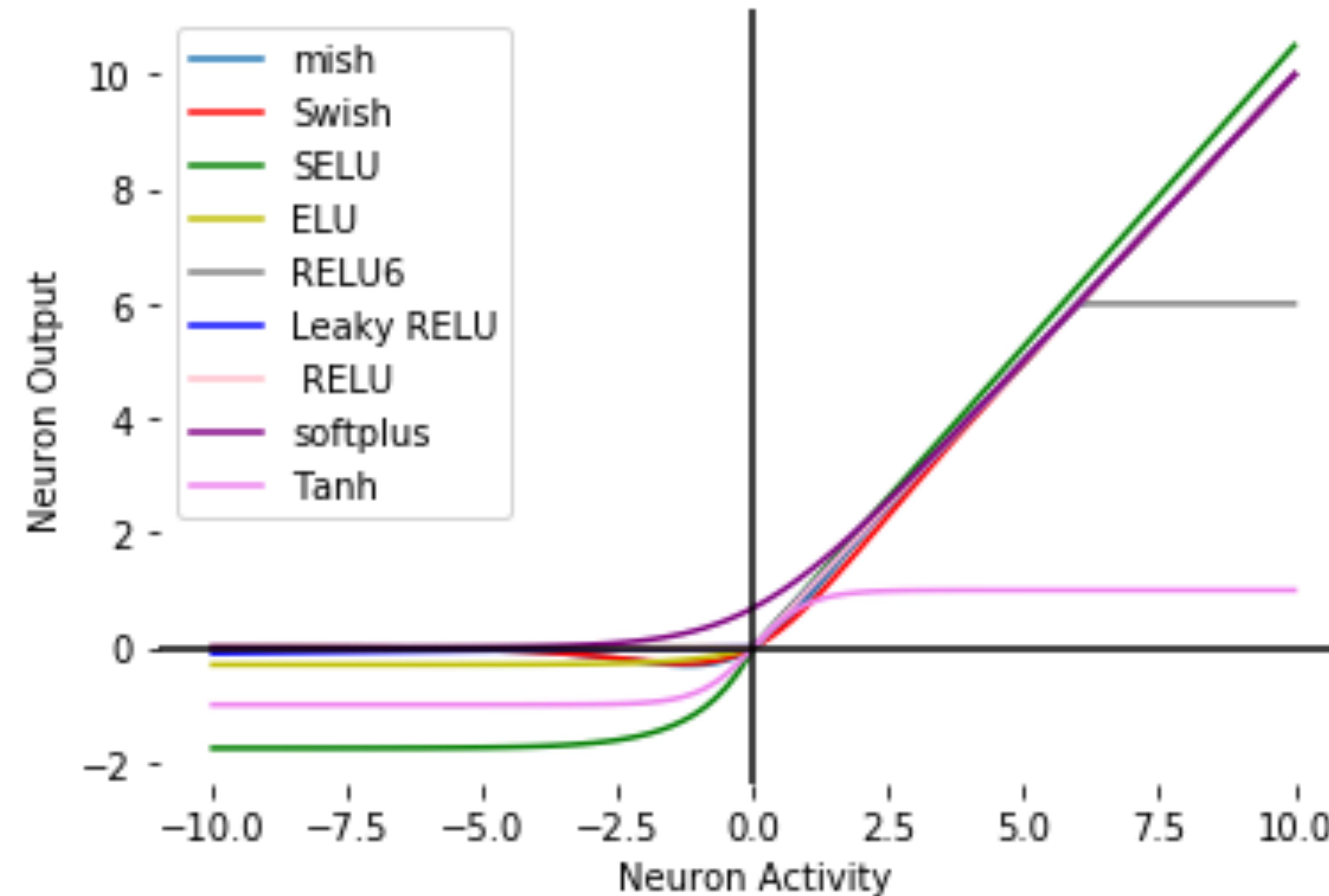
$$\begin{aligned} \text{gelu}(x) &= xP(X \leq x) = \frac{x}{2}(1 + \text{erf}(x/\sqrt{2})) \\ &\approx x\sigma(1.702x) \end{aligned}$$

- Idea: Multiply input by 0 or 1 at random; large values more likely to be multiplied by 1, small values more likely to be multiplied by 0 (data-dependent dropout)
- Take expectation over randomness
- Very common in Transformers (BERT, GPT, ViT)

Hendrycks and Gimpel, Gaussian Error Linear Units (GELUs), 2016

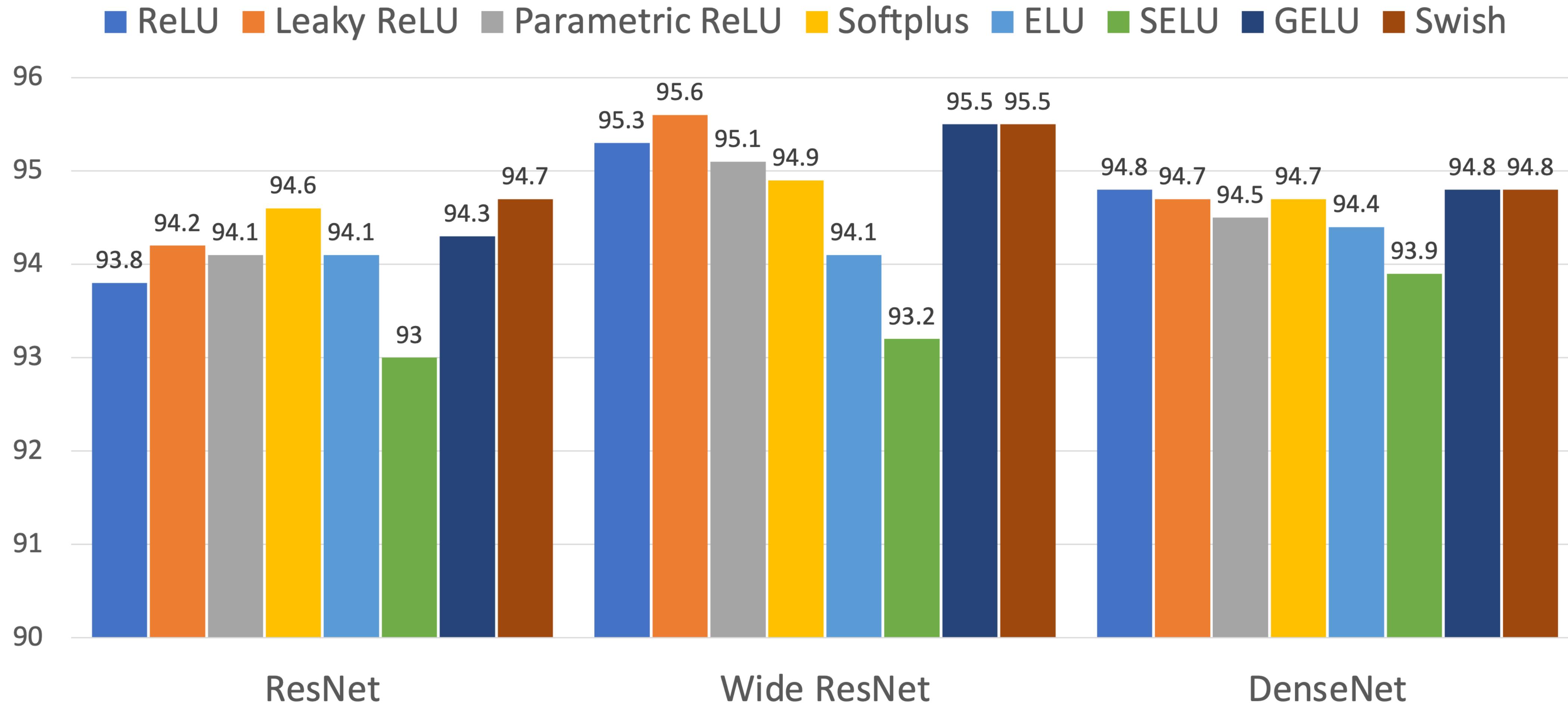


# Activation Functions





# Accuracy on CIFAR10





# Activation Functions: Summary

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- Don't think too hard. Just use **ReLU**
- Try out **Leaky ReLU / ELU / SELU / GELU** if you need to squeeze that last 0.1%
- **Don't use sigmoid or tanh**

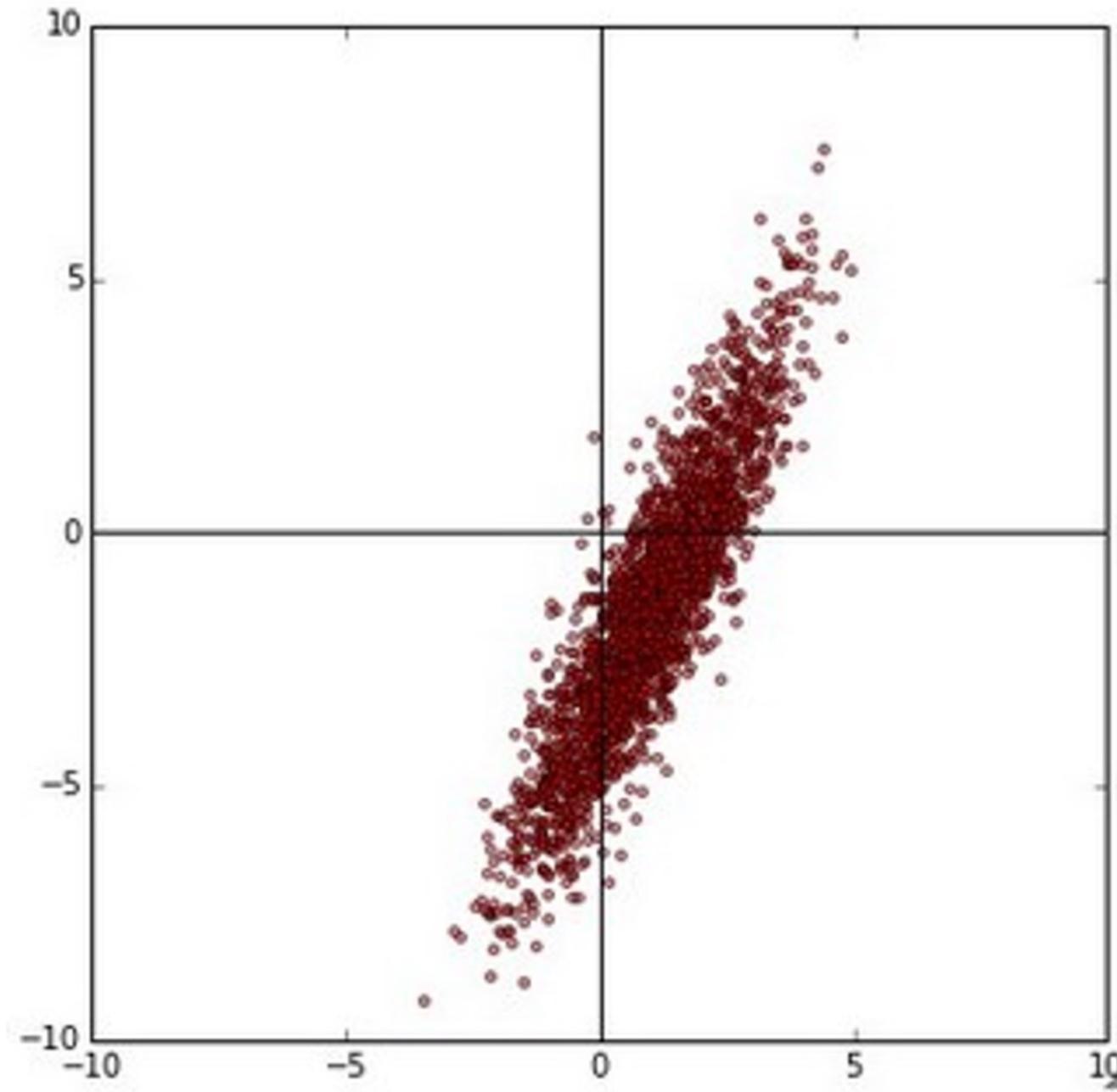
Some (very) recent architectures use GeLU instead of ReLU, but the gains are minimal

Dosovitskiy et al, "An Image is Worth 16x16 Words: Transformers for Image Recognition at Scale", ICLR 2021  
Liu et al, "A ConvNet for the 2020s", arXiv 2022

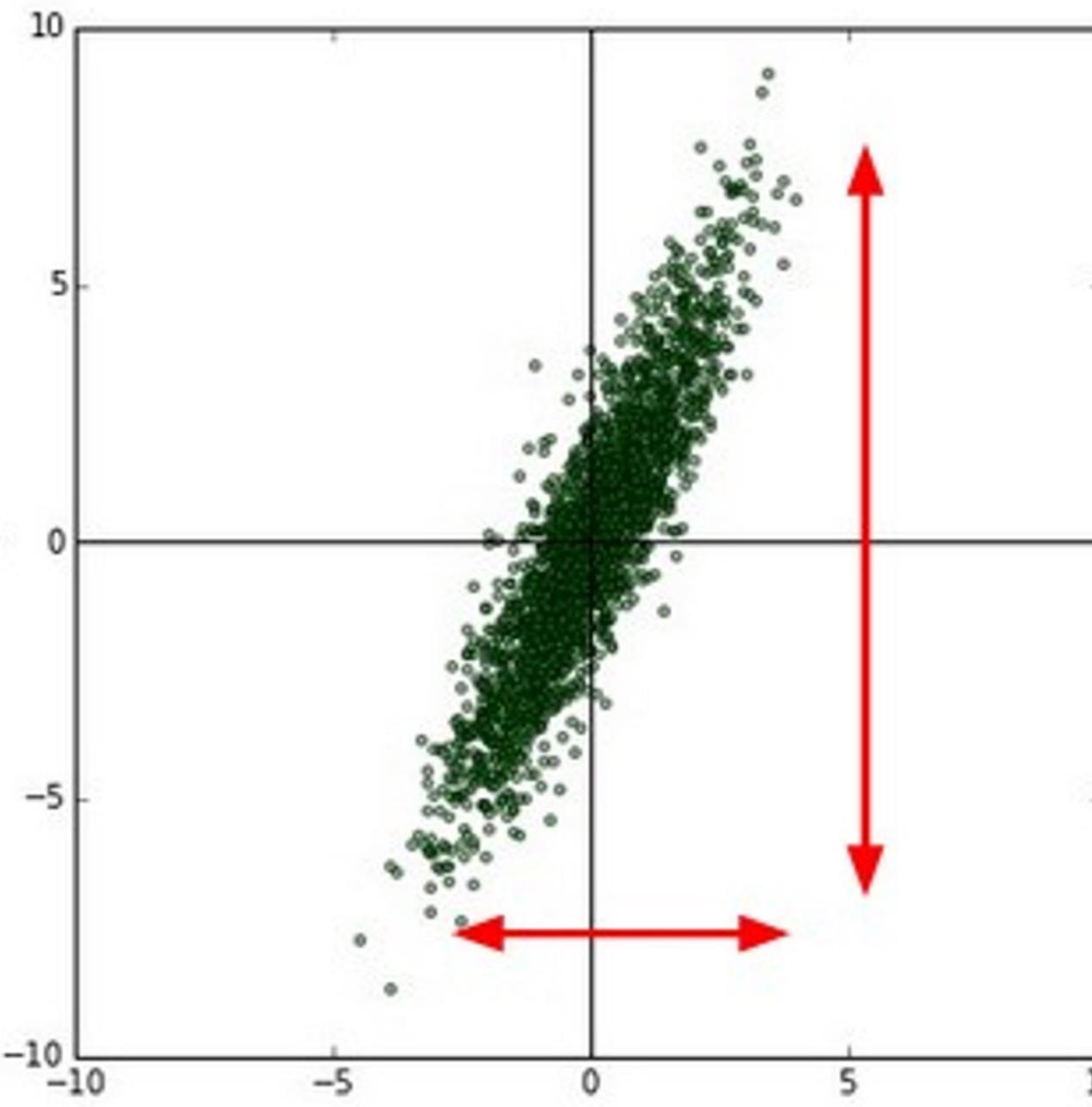


# Data preprocessing

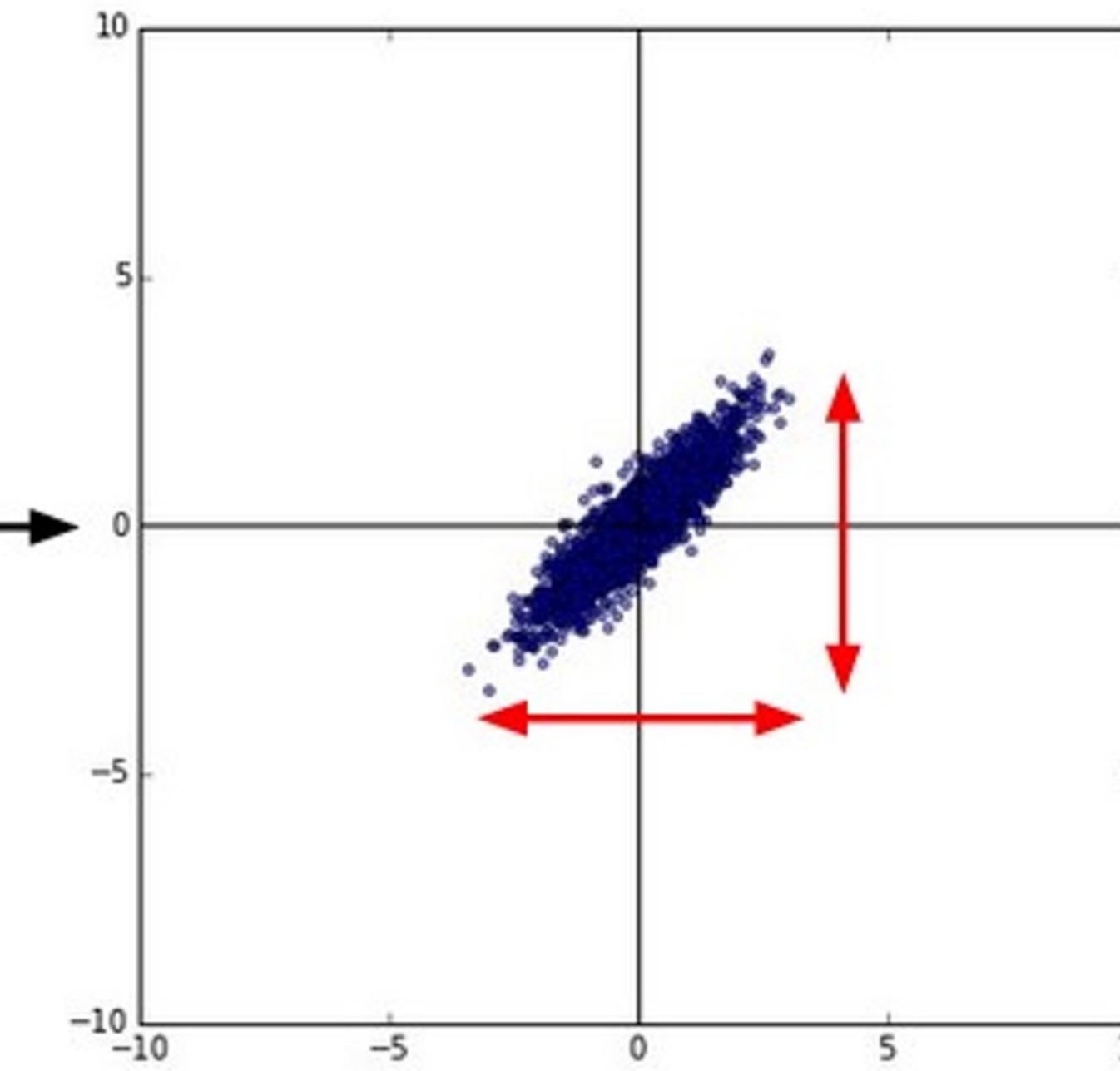
original data



zero-centered data



normalized data



See batchnorm

`X -= np.mean(X, axis = 0)`

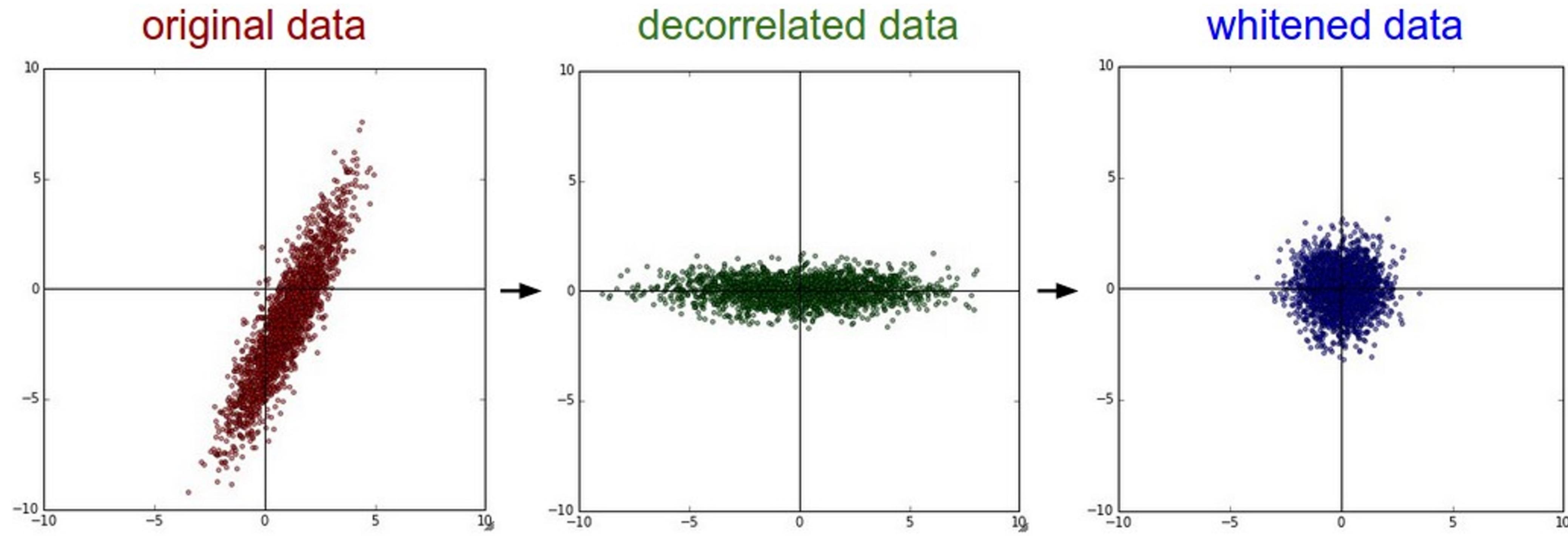
`X /= np.std(X, axis = 0)`

(Assume  $X[NxD]$  is data matrix, each example in a row)



# Data preprocessing

In practice, you may also see **PCA** and Whitening of the data



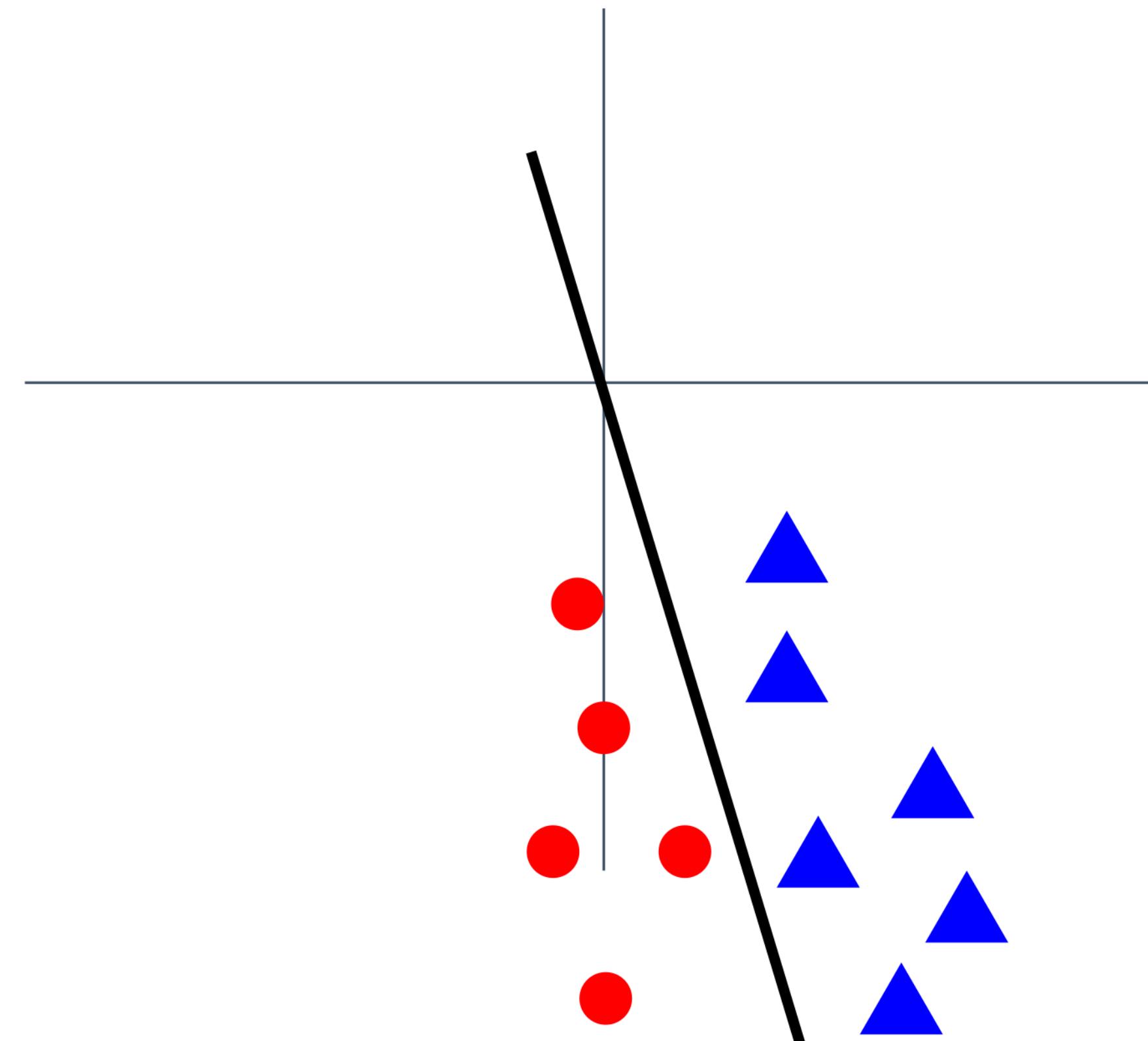
(Data has diagonal covariance matrix)

(Covariance matrix is the identity matrix)

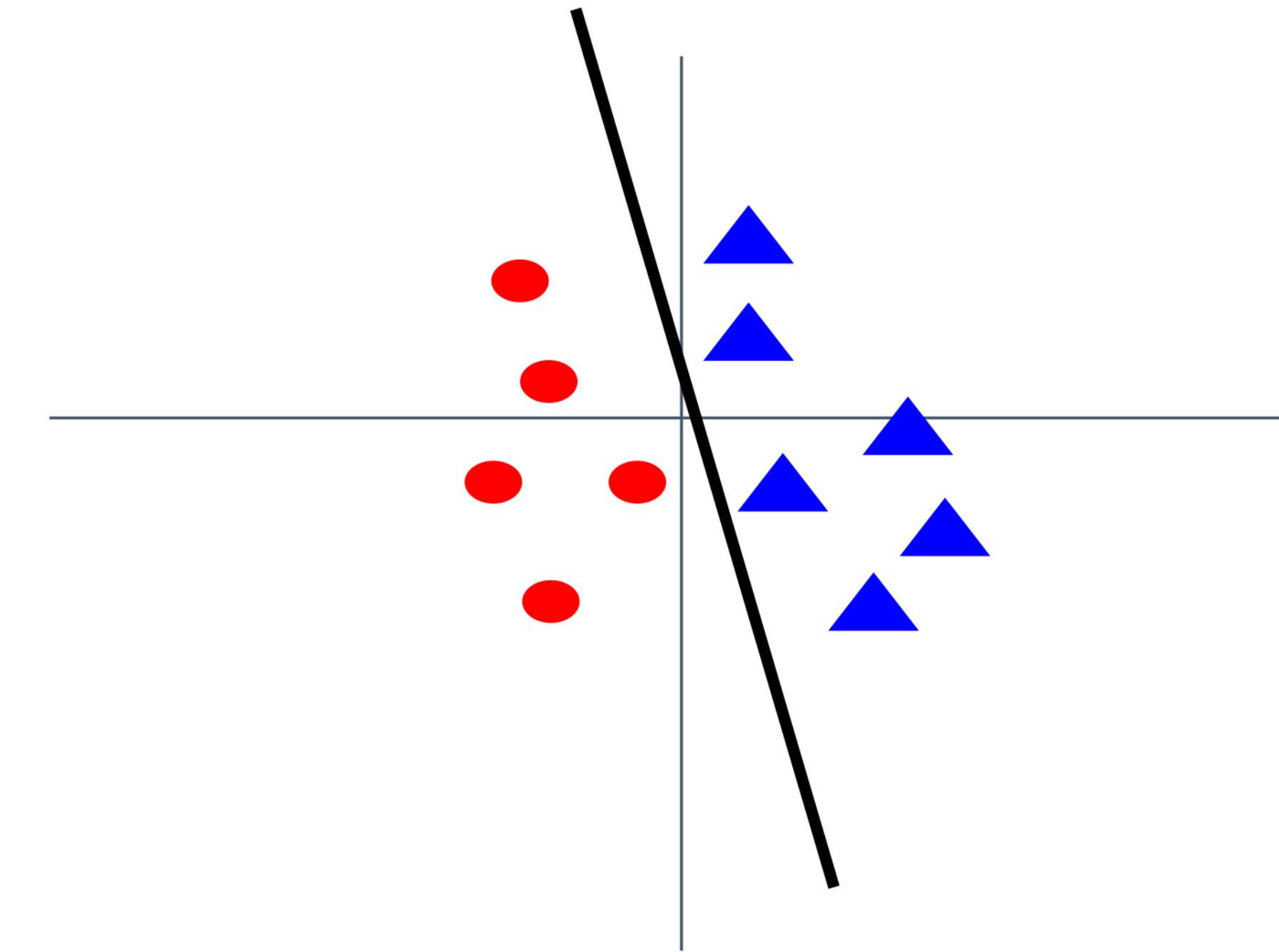


# Data preprocessing

**Before normalization:** Classification loss very sensitive to changes in weight matrix; hard to optimize



**After normalization:** less sensitive to small changes in weights; easier to optimize





# Data preprocessing for Images

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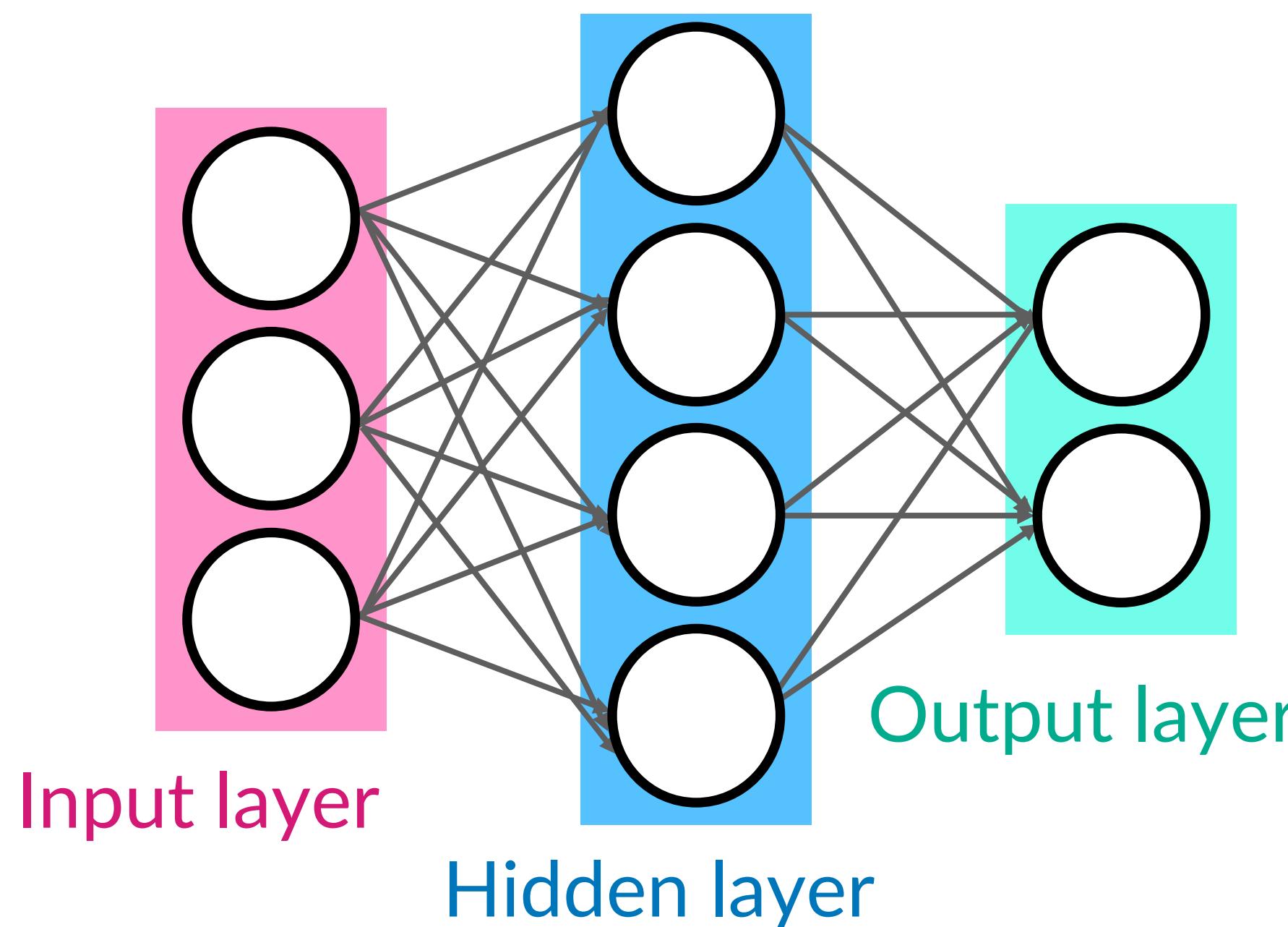
e.g. consider CIFAR-10 example with [32, 32, 3] images

- Subtract the mean image (e.g. AlexNet)  
(mean image = [32, 32, 3] array)
- Subtract per-channel mean (e.g. VGGNet)  
(mean along each channel = 3 numbers)
- Subtract per-channel mean and Divide by per-channel std (e.g. ResNet)  
(mean along each channel = 3 numbers)

Not common to do  
PCA or whitening



# Weight initialization



**Q:** What happens if we initialize all  $W=0$ ,  $b=0$ ?

**A:** All outputs are 0, all gradients are the same!

“symmetry breaking” problem

<https://www.pinecone.io/learn/weight-initialization/>



# Weight initialization

---

Next idea: **small random numbers** (Gaussian with zero mean, std=0.01)

```
W = 0.01 * np.random.randn(Din, Dout)
```

Works ~okay for small networks, but problems with deeper networks.

“vanishing gradient” problem



# Weight initialization: Activation statistics

```
dims = [4096] * 7      Forward pass for a 6-layer  
hs = []                  net with hidden size 4096  
x = np.random.randn(16, dims[0])  
for Din, Dout in zip(dims[:-1], dims[1:]):  
    W = 0.01 * np.random.randn(Din, Dout)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

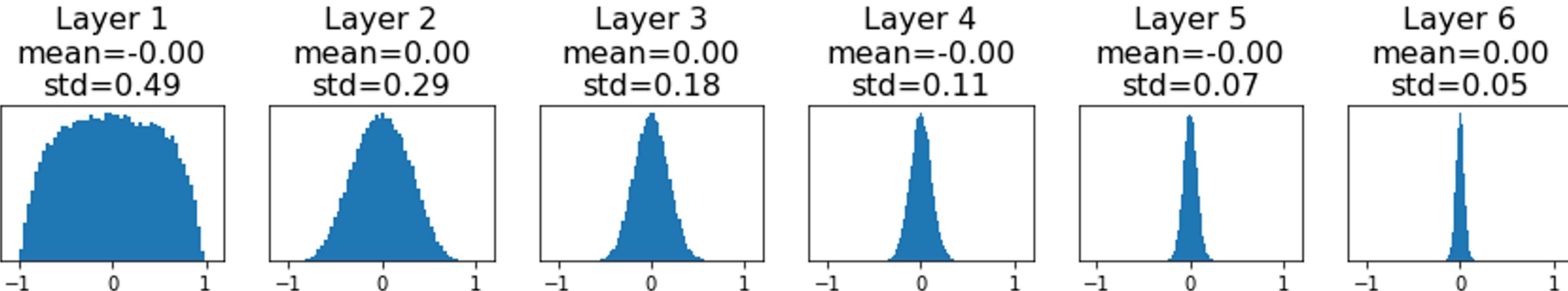


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    W = 0.01 * np.random.randn(Din, Dout)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

All activations tend to zero for deeper network layers

**Q:** What do the gradients  $dL/dW$  look like?





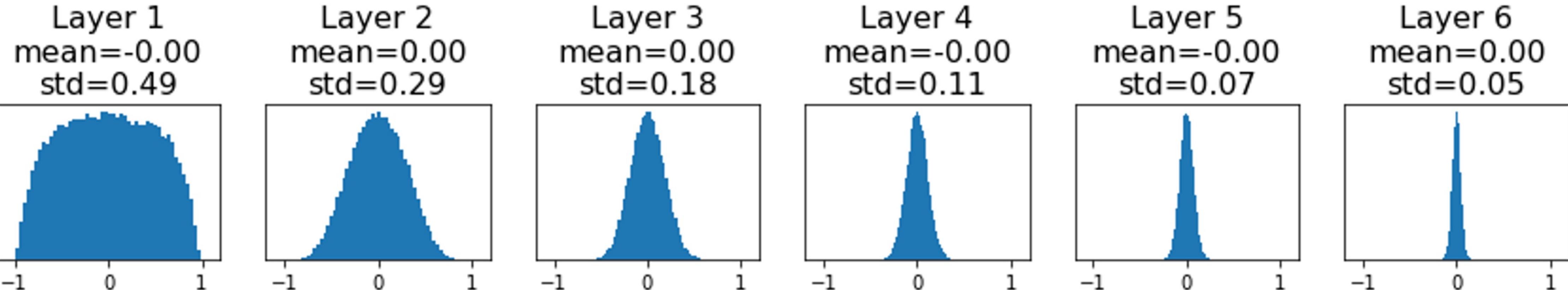
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    W = 0.01 * np.random.randn(Din, Dout)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

All activations tend to be **zero** for **deeper** network layers

**Q:** What do the gradients  $dL/dW$  look like?

**A:** All zero, no learning :(



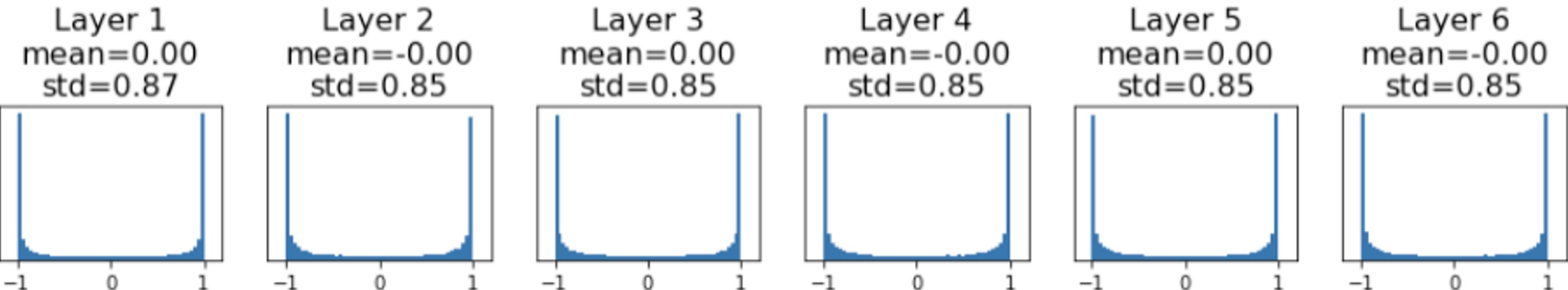


# Weight initialization: Activation statistics

```
dims = [4096] * 7      Increase std of initial weights  
hs = []  
x = np.random.randn(16, dims[0])  
for Din, Dout in zip(dims[:-1], dims[1:]):  
    W = 0.05 * np.random.randn(Din, Dout)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

All activations saturate

Q: What do the gradients look like?





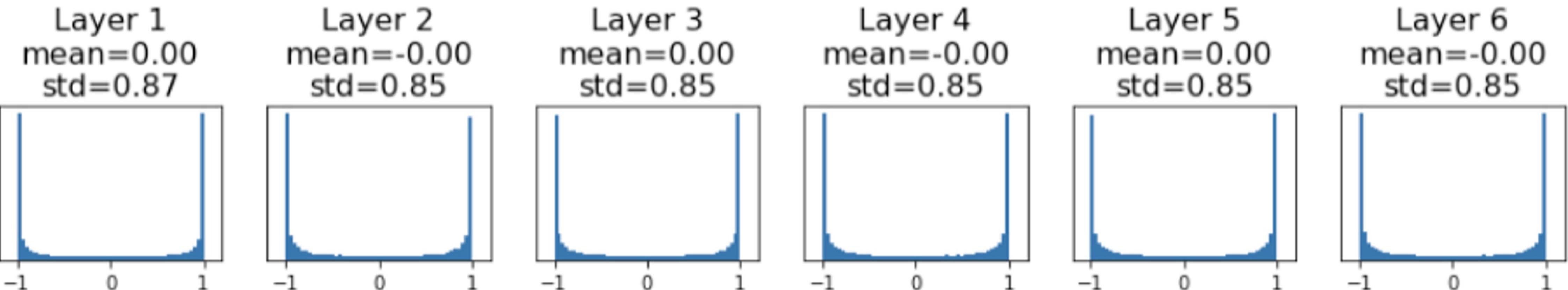
# Weight initialization: Activation statistics

```
dims = [4096] * 7      Increase std of initial weights  
hs = []  
x = np.random.randn(16, dims[0])  
for Din, Dout in zip(dims[:-1], dims[1:]):  
    W = 0.05 * np.random.randn(Din, Dout)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

All activations **saturate**

**Q:** What do the gradients look like?

**A:** Local gradients all zero, no learning :(





# Weight initialization: Xavier Initialization

```
dims = [4096] * 7          "Xavier" initialization:  
hs = []                      std = 1/sqrt(Din)  
x = np.random.randn(16, dims[0])  
for Din, Dout in zip(dims[:-1], dims[1:]):  
    W = np.random.randn(Din, Dout) / np.sqrt(Din)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

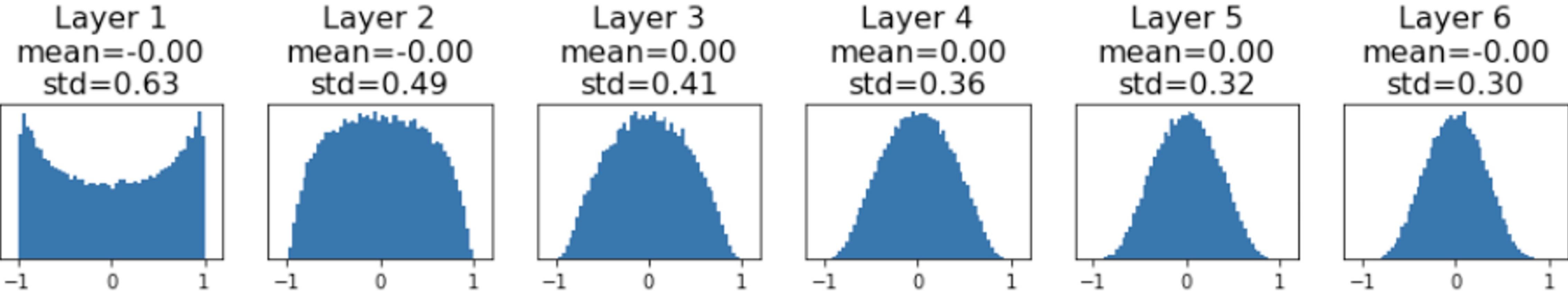
“Just right”: Activations are nicely scaled for all layers!



# Weight initialization: Xavier Initialization

```
dims = [4096] * 7          "Xavier" initialization:  
hs = []                      std = 1/sqrt(Din)  
x = np.random.randn(16, dims[0])  
for Din, Dout in zip(dims[:-1], dims[1:]):  
    W = np.random.randn(Din, Dout) / np.sqrt(Din)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

“Just right”: Activations are nicely **scaled** for all layers!



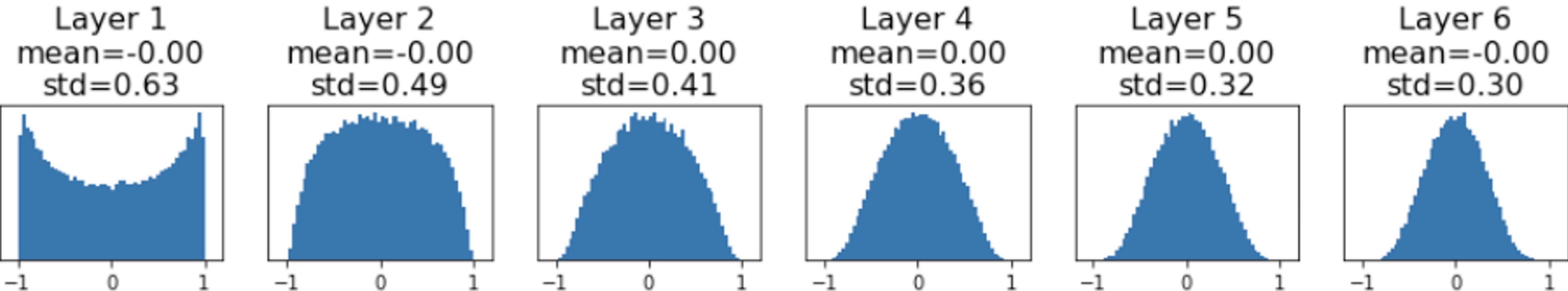


# Weight initialization: Xavier Initialization

```
dims = [4096] * 7          "Xavier" initialization:  
hs = []                      std = 1/sqrt(Din)  
x = np.random.randn(16, dims[0])  
for Din, Dout in zip(dims[:-1], dims[1:]):  
    W = np.random.randn(Din, Dout) / np.sqrt(Din)  
    x = np.tanh(x.dot(W))  
    hs.append(x)
```

“Just right”: Activations are nicely **scaled** for all layers!

For conv layers, Din is  $\text{kernel\_size}^2 \times \text{input\_channels}$





# Weight initialization: Xavier Initialization

**Derivation:** Variance of output = Variance of input

“Xavier” initialization:  
 $std = 1/\sqrt{Din}$

$$y = Wx$$

$$y_i = \sum_{j=1}^{Din} x_j w_j$$

$$\begin{aligned} Var(y_i) &= Din \times Var(x_i, w_i) \\ [\text{iid}] \quad &= Din \times (\mathbb{E}[x_i^2] \mathbb{E}[w_i^2] - \mathbb{E}[x_i]^2 \mathbb{E}[w_i]^2) \\ [\text{independent}] \quad &= Din \times Var(x_i) \times Var(w_i) \end{aligned}$$

[Assume  $x, w$  are

[Assume  $x, w$  are

[Assume  $x, w$  are zero-mean]

If  $Var(w_i) = 1/Din$  then  $Var(y_i) = Var(x_i)$



# Weight initialization: What about ReLU?

```
dims = [4096] * 7      Change from tanh to ReLU
hs = []
x = np.random.randn(16, dims[0])
for Din, Dout in zip(dims[:-1], dims[1:]):
    W = np.random.randn(Din, Dout) / np.sqrt(Din)
    x = np.maximum(0, x.dot(W))
    hs.append(x)
```

Xavier assumes zero centered activation function

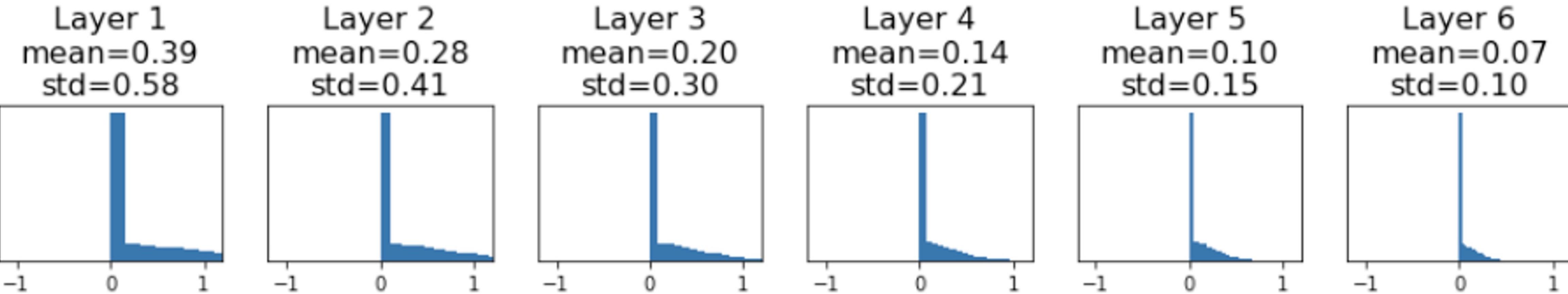


# Weight initialization: What about ReLU?

```
dims = [4096] * 7      Change from tanh to ReLU
hs = []
x = np.random.randn(16, dims[0])
for Din, Dout in zip(dims[:-1], dims[1:]):
    W = np.random.randn(Din, Dout) / np.sqrt(Din)
    x = np.maximum(0, x.dot(W))
    hs.append(x)
```

Xavier assumes zero centered activation function

Activations collapse to zero again, no learning :(

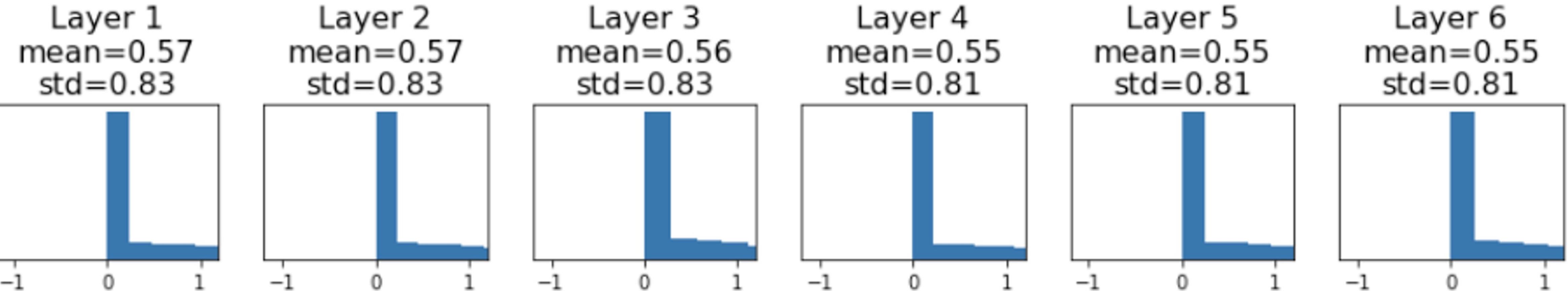




# Weight initialization: Kaiming / MSRA initialization

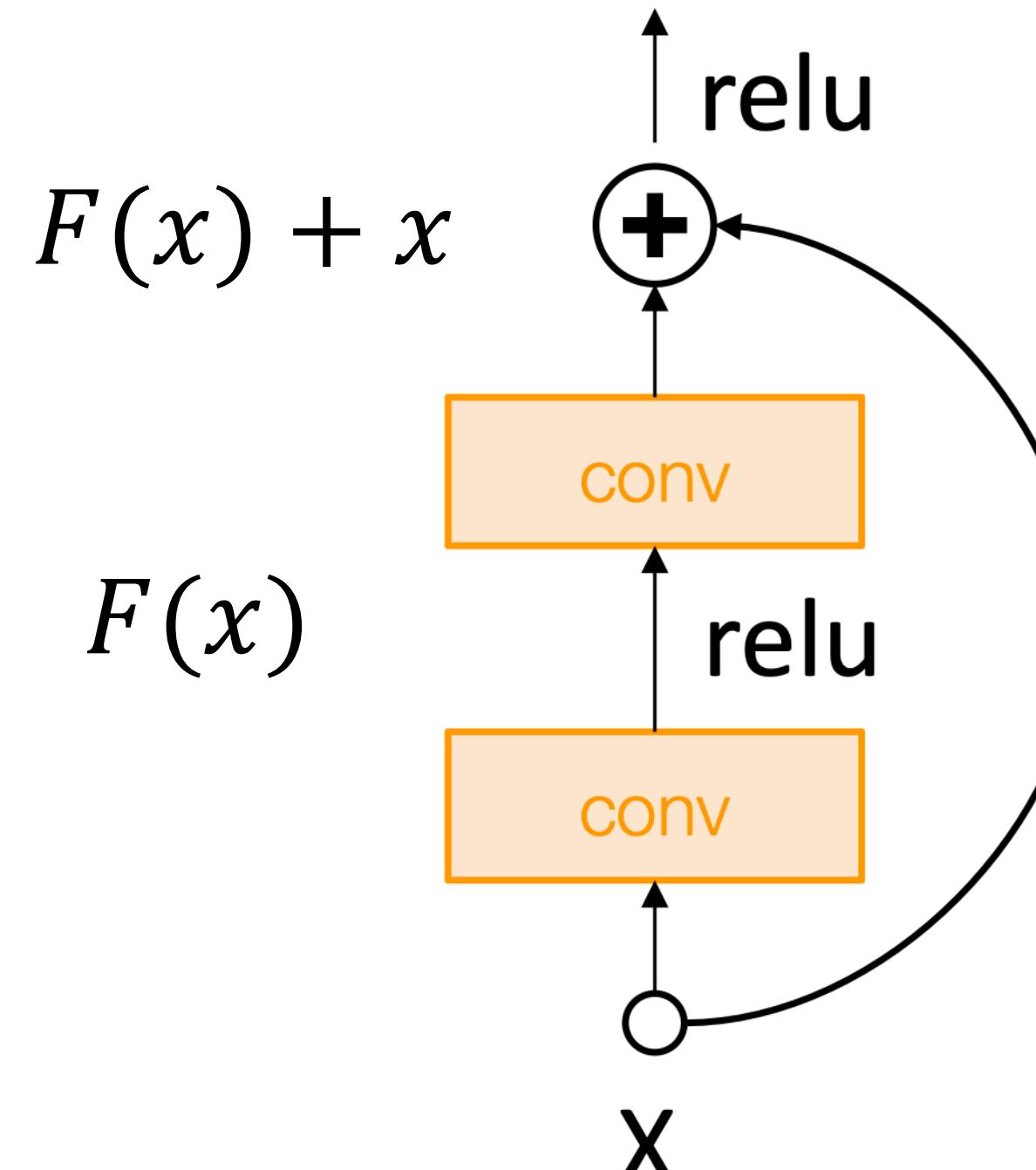
```
dims = [4096] * 7 ReLU correction: std = sqrt(2 / Din)
hs = []
x = np.random.randn(16, dims[0])
for Din, Dout in zip(dims[:-1], dims[1:]):
    W = np.random.randn(Din, Dout) / np.sqrt(Din)
    x = np.maximum(0, x.dot(W))
    hs.append(x)
```

“Just right” - activations nicely scaled for all layers





# Weight initialization: Residual Networks

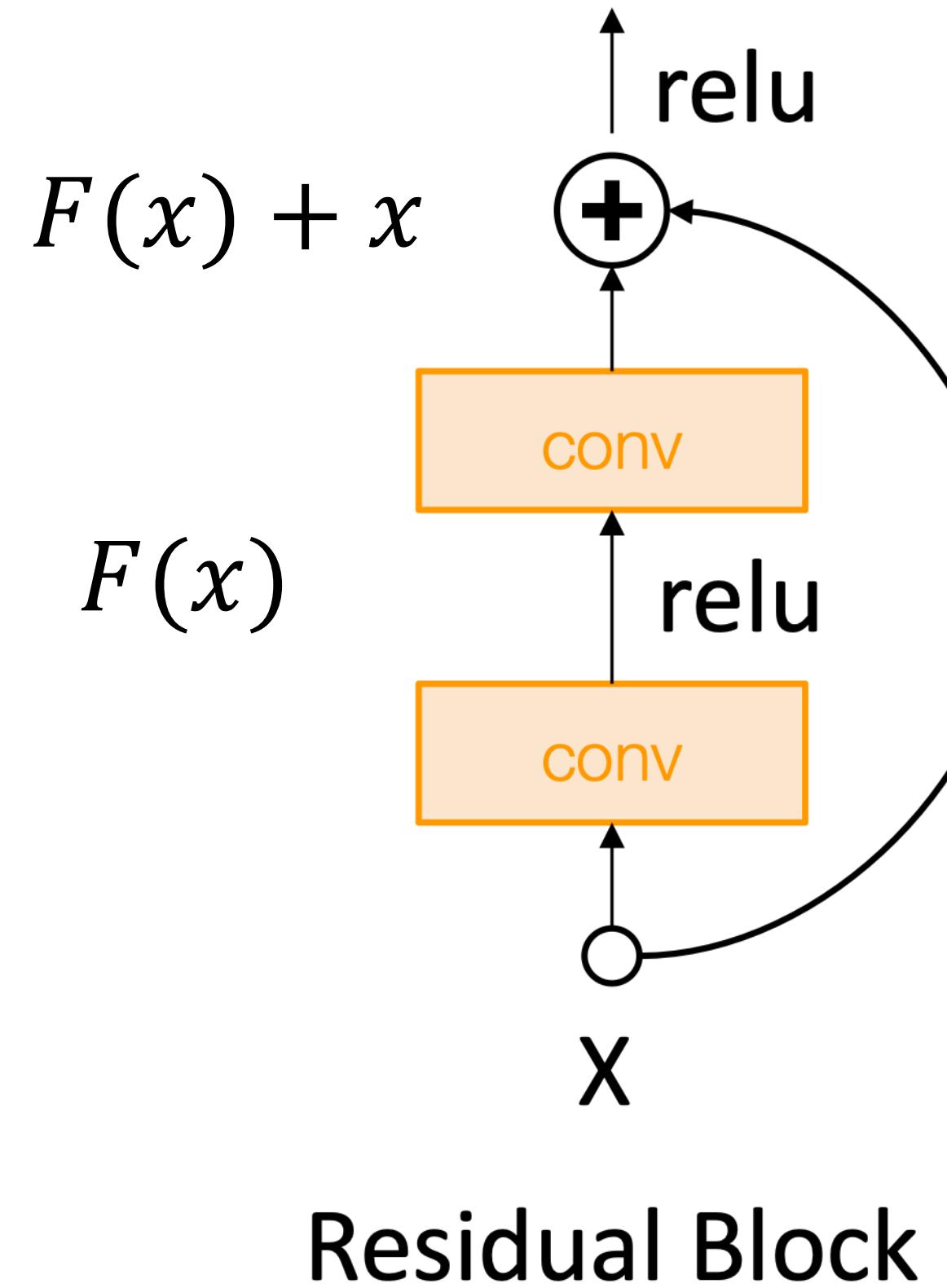


If we initialize with MSRA:  
then  $\text{Var}(F(x)) = \text{Var}(x)$

But then  $\text{Var}(F(x) + x) > \text{Var}(x)$  variance grows with each block!



# Weight initialization: Residual Networks



If we initialize with MSRA:  
then  $\text{Var}(F(x)) = \text{Var}(x)$

But then  $\text{Var}(F(x) + x) > \text{Var}(x)$  variance grows with each block!

**Solution:** Initialize first conv with MSRA,  
initialize second conv to zero.  
Then  $\text{Var}(F(x) + x) = \text{Var}(x)$



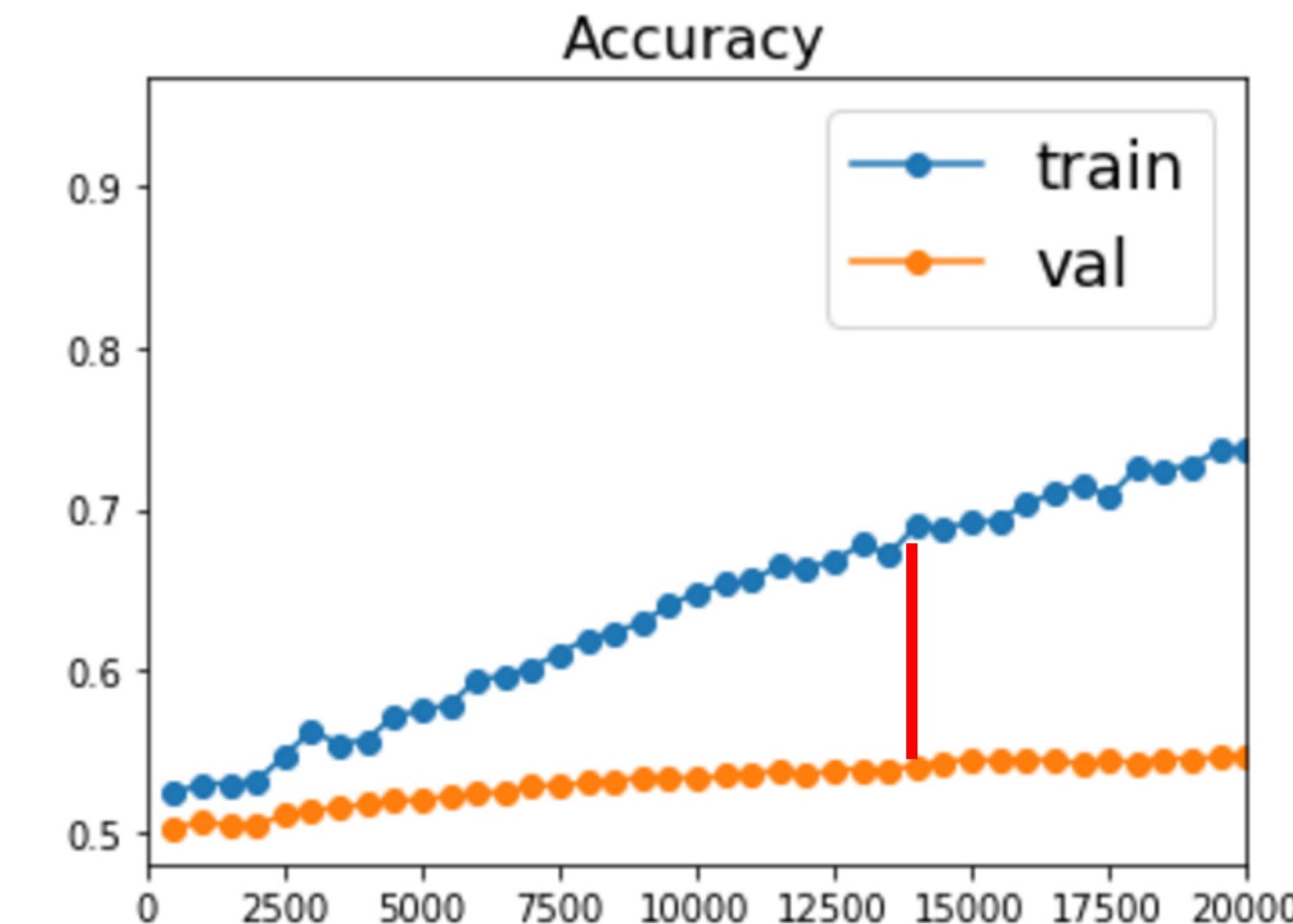
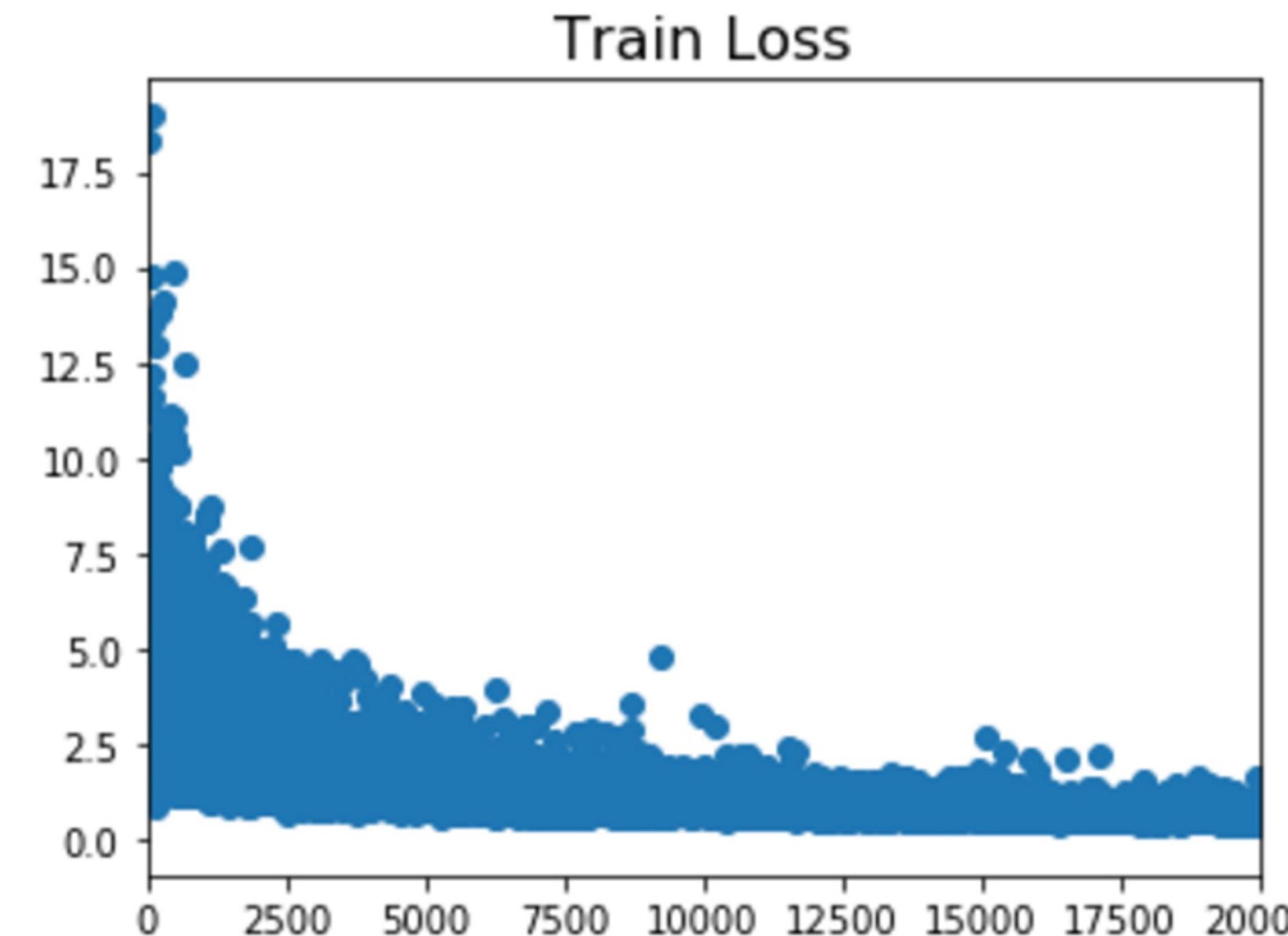
# Proper initialization is an active area of research

---

- *Understanding the difficulty of training deep feedforward neural networks* by Glorot and Bengio, 2010
- *Exact solutions to the nonlinear dynamics of learning in deep linear neural networks* by Saxe et al, 2013
- *Random walk initialization for training very deep feedforward networks* by Sussillo and Abbott, 2014
- *Delving deep into rectifiers: Surpassing human-level performance on ImageNet classification* by He et al., 2015
- *Data-dependent Initializations of Convolutional Neural Networks* by Krähenbühl et al., 2015
- *All you need is a good init*, Mishkin and Matas, 2015
- *Fixup Initialization: Residual Learning Without Normalization*, Zhang et al, 2019
- *The Lottery Ticket Hypothesis: Finding Sparse, Trainable Neural Networks*, Frankle and Carbin, 2019



# Now your model is training ... but it overfits!



## Regularization



# Regularization: Add term to the loss

---

$$L = \frac{1}{N} \sum_{i=1}^N \sum_{j \neq y_i} \max(0, f(x_i; W)_j - f(x_i; W)_{y_i} + 1) + \lambda R(W)$$

In common use:

**L2 regularization**

$$R(W) = \sum_k \sum_l W_{k,l}^2 \text{ (Weight decay)}$$

L1 regularization

$$R(W) = \sum_k \sum_l |W_{k,l}|$$

Elastic net (L1 + L2)

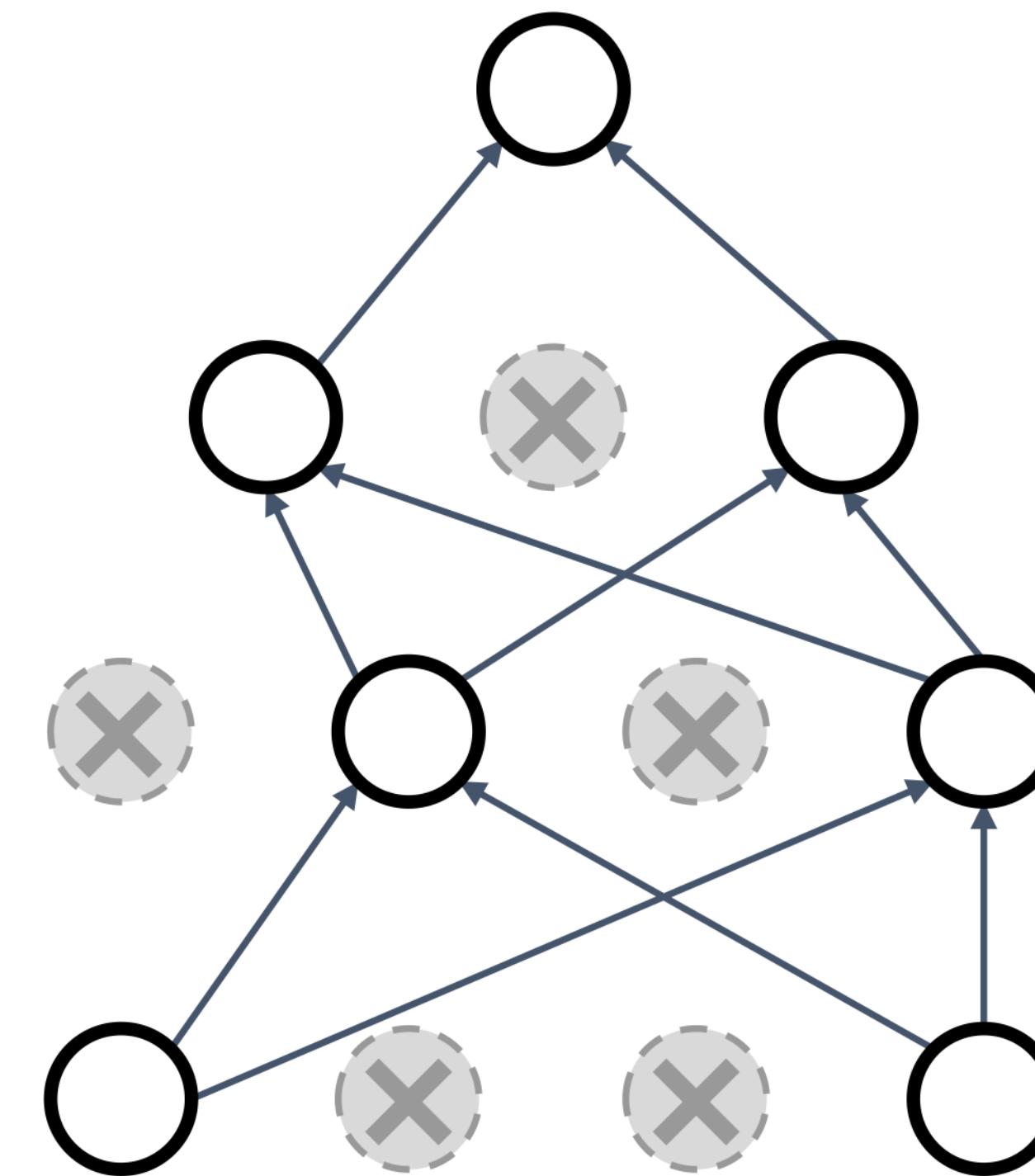
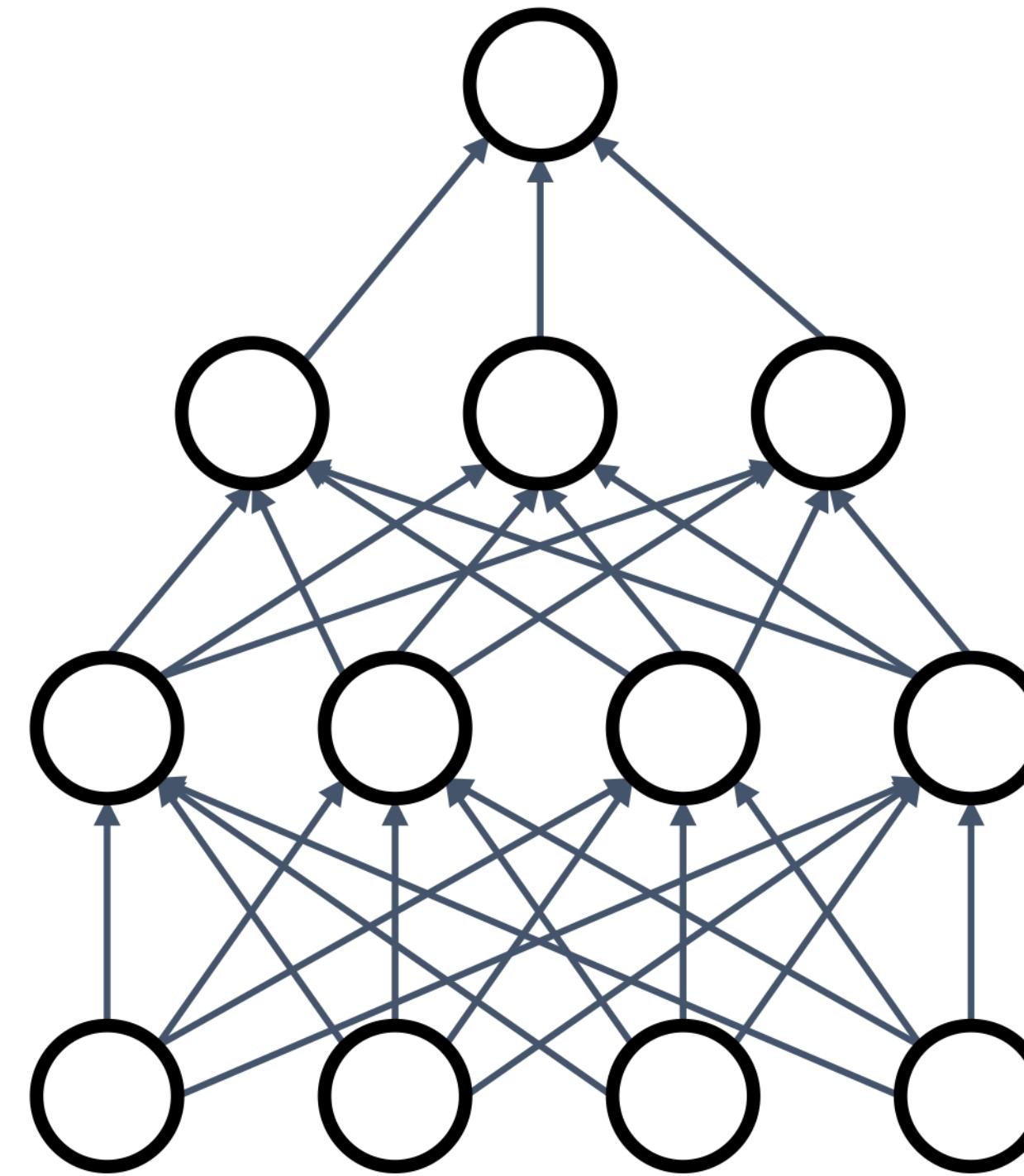
$$R(W) = \sum_k \sum_l \beta W_{k,l}^2 + |W_{k,l}|$$



# Regularization: Dropout

In each forward pass, randomly set some neurons to zero

Probability of dropping is a hyperparameter; 0.5 is common





# Regularization: Dropout

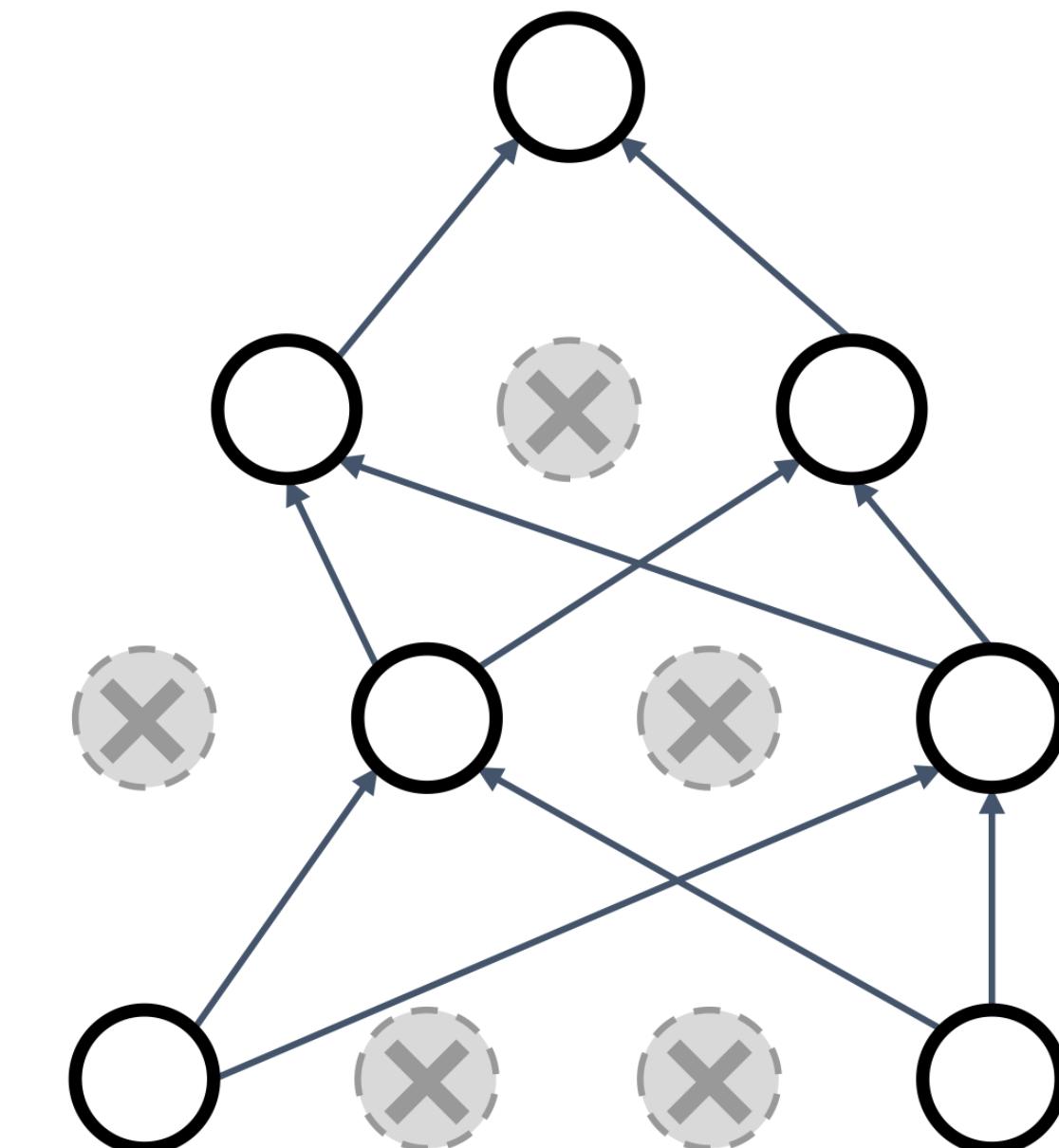
```
p = 0.5 # probability of keeping a unit active. higher = less dropout

def train_step(X):
    """ X contains the data """

    # forward pass for example 3-layer neural network
    H1 = np.maximum(0, np.dot(W1, X) + b1)
    U1 = np.random.rand(*H1.shape) < p # first dropout mask
    H1 *= U1 # drop!
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
    U2 = np.random.rand(*H2.shape) < p # second dropout mask
    H2 *= U2 # drop!
    out = np.dot(W3, H2) + b3

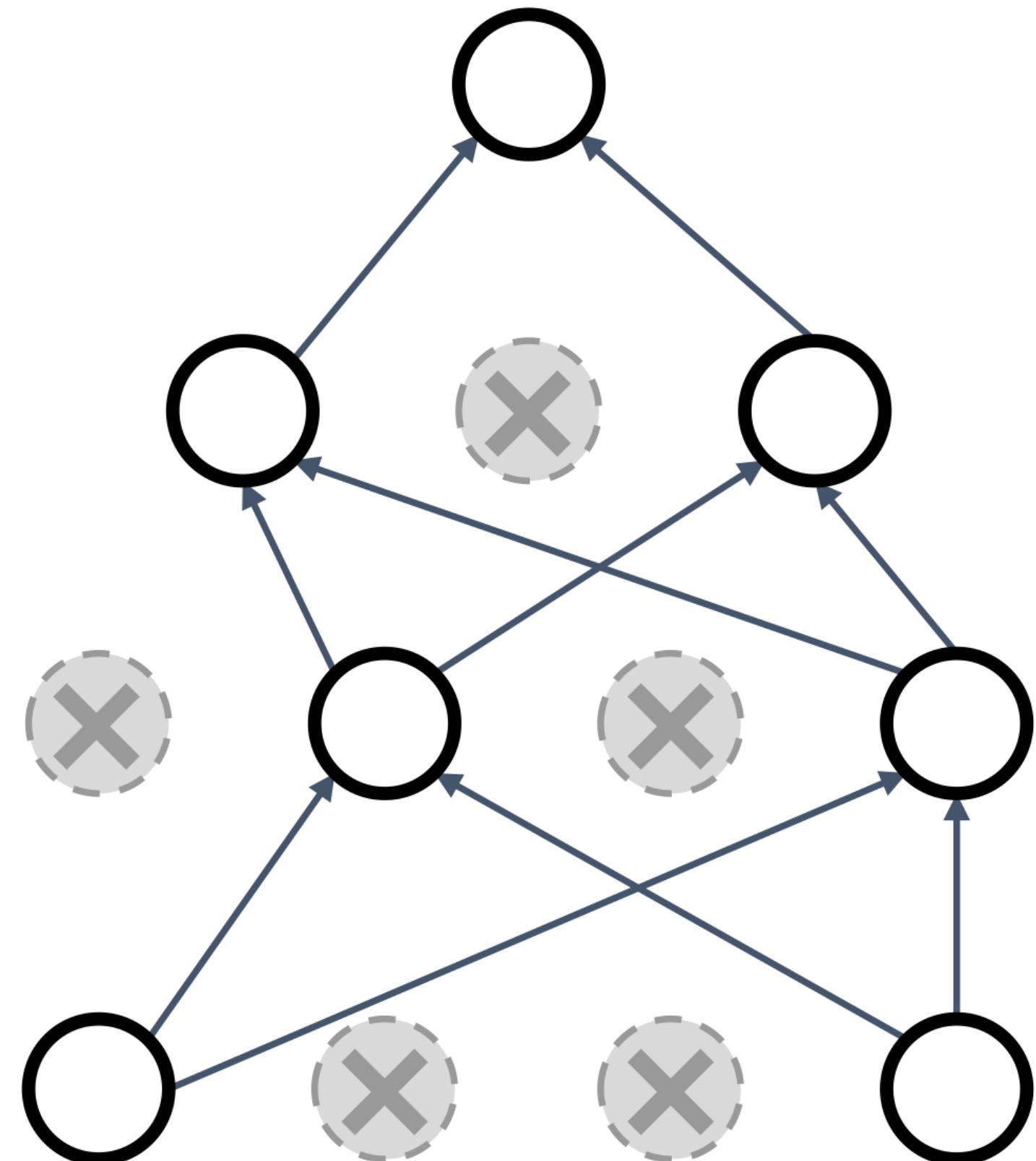
    # backward pass: compute gradients... (not shown)
    # perform parameter update... (not shown)
```

Example forward pass with a 3-layer network using dropout





# Regularization: Dropout

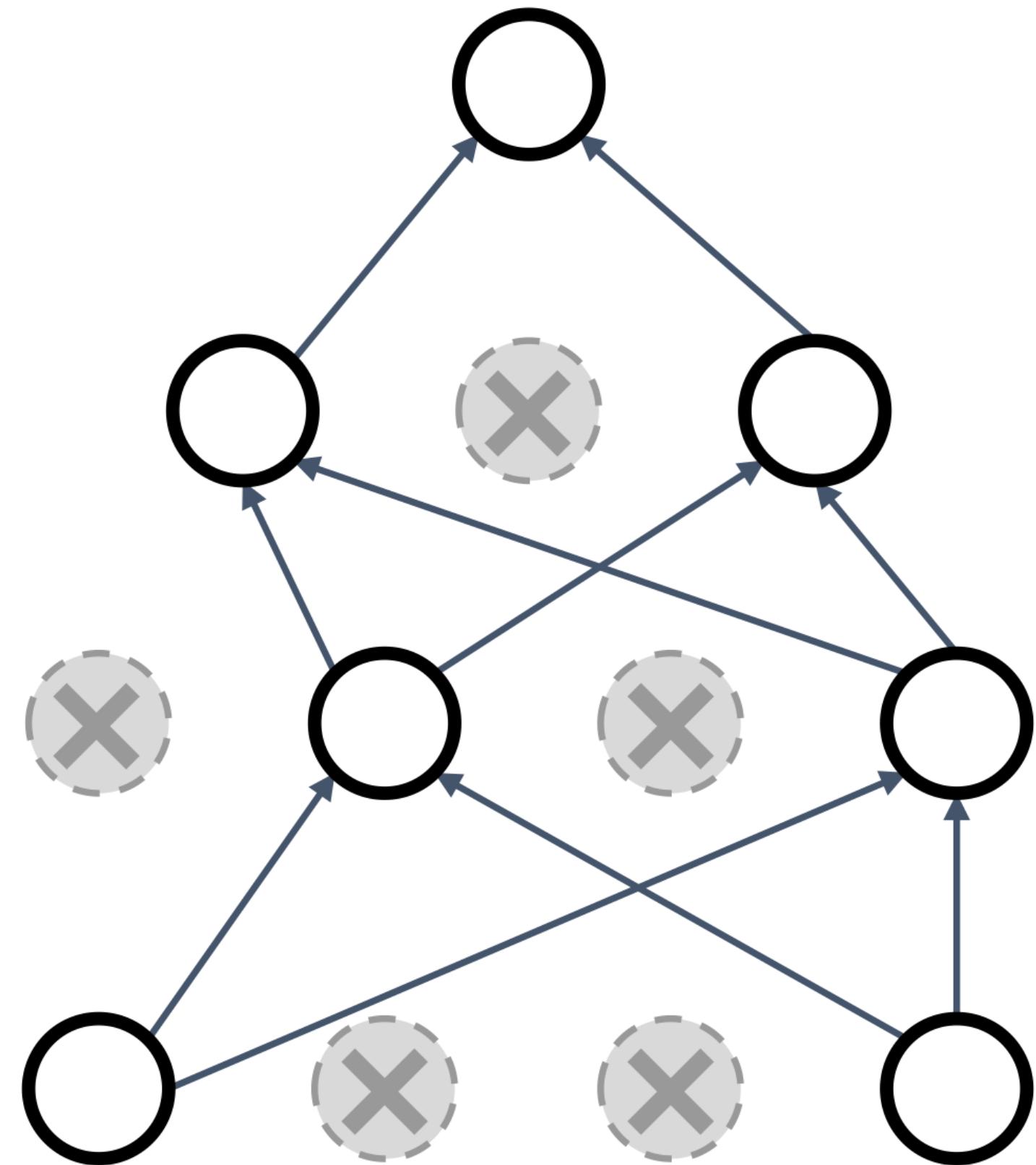


Forces the network to have a redundant representation; prevents **co-adaptation** of features





# Regularization: Dropout



Another interpretation:

Dropout is training a large *ensemble* of models (that share parameters).

Each binary mask is one model

An FC layer with 4096 units has  $2^{4096} \sim 10^{1233}$  possible masks!  
Only  $\sim 10^{82}$  atoms in the universe...



# Dropout: Test time

# Dropout makes our output random!

$$y = f_w(x, z)$$

! Random mask

Output label      Input image

Want to “average out” the randomness at test-time

$$y = f(x, z) = \mathbb{E}_z[f(x, z)] = \int p(z)f(x, z)dz$$

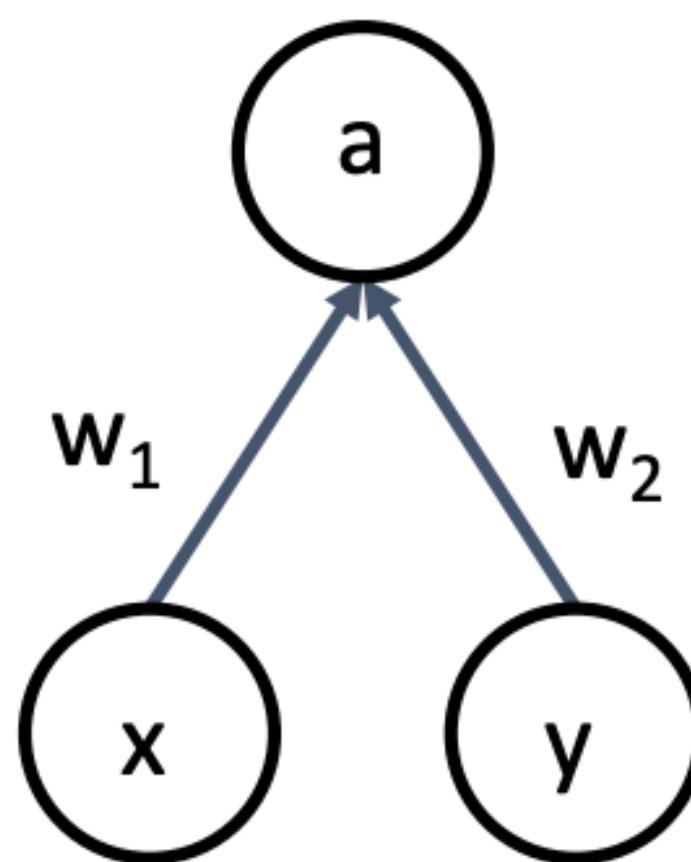
But this integral seems hard...



# Dropout: Test time

Want to approximate  
the integral

$$y = f(x, z) = \mathbb{E}_z[f(x, z)] = \int p(z)f(x, z)dz$$



Consider a single neuron:

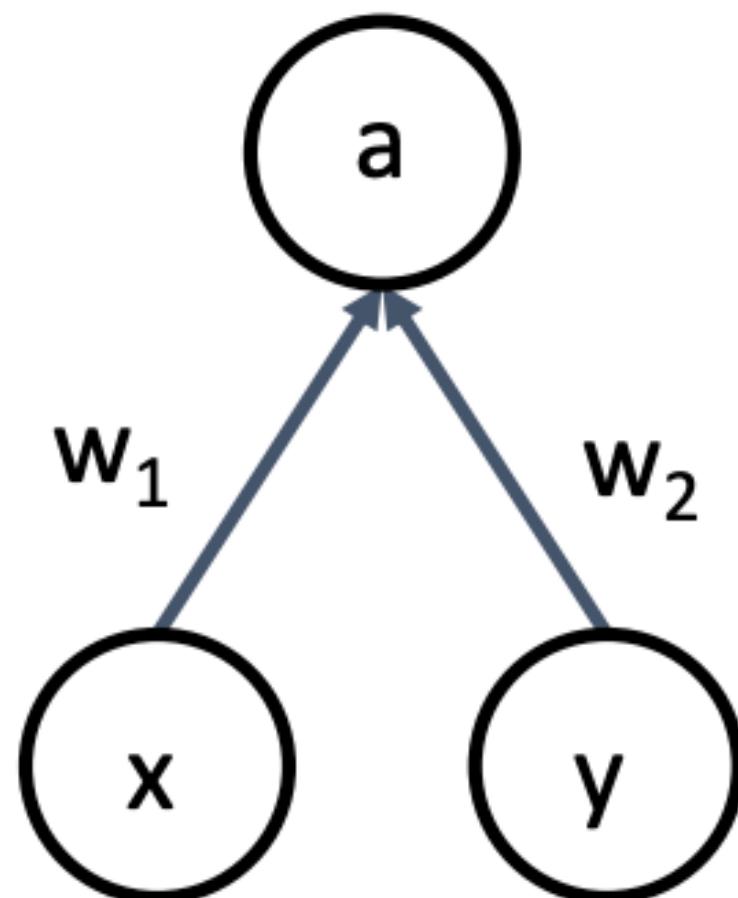
At test time we have:  $\mathbb{E}[a] = w_1x + w_2y$



# Dropout: Test time

Want to approximate  
the integral

$$y = f(x, z) = \mathbb{E}_z[f(x, z)] = \int p(z)f(x, z)dz$$



Consider a single neuron:

At test time we have:  $\mathbb{E}[a] = w_1x + w_2y$

During training time we have:  $\mathbb{E}[a] = \frac{1}{4}(w_1x + w_2y) + \frac{1}{4}(w_1x + 0y)$

$$\quad\quad\quad + \frac{1}{4}(0x + 0y) + \frac{1}{4}(0x + w_2y)$$

At test time, drop nothing and ***multiply*** by dropout probability

$$= \frac{1}{2}(w_1x + w_2y)$$



# Dropout: Test time

```
def predict(X):
    # ensembled forward pass
    H1 = np.maximum(0, np.dot(W1, X) + b1) * p # NOTE: scale the activations
    H2 = np.maximum(0, np.dot(W2, H1) + b2) * p # NOTE: scale the activations
    out = np.dot(W3, H2) + b3
```

At test time all neurons are active always

=> We must scale the activations so that for each neuron:

Output at test time = Expected output at training time



# Dropout Summary

```
""" Vanilla Dropout: Not recommended implementation (see notes below) """

p = 0.5 # probability of keeping a unit active. higher = less dropout

def train_step(X):
    """ X contains the data """

    # forward pass for example 3-layer neural network
    H1 = np.maximum(0, np.dot(W1, X) + b1)
    U1 = np.random.rand(*H1.shape) < p # first dropout mask
    H1 *= U1 # drop!
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
    U2 = np.random.rand(*H2.shape) < p # second dropout mask
    H2 *= U2 # drop!
    out = np.dot(W3, H2) + b3

    # backward pass: compute gradients... (not shown)
    # perform parameter update... (not shown)

def predict(X):
    # ensembled forward pass
    H1 = np.maximum(0, np.dot(W1, X) + b1) * p # NOTE: scale the activations
    H2 = np.maximum(0, np.dot(W2, H1) + b2) * p # NOTE: scale the activations
    out = np.dot(W3, H2) + b3
```

Drop in forward pass

Scale at test time



# More common: “Inverted dropout”

```
p = 0.5 # probability of keeping a unit active. higher = less dropout

def train_step(X):
    # forward pass for example 3-layer neural network
    H1 = np.maximum(0, np.dot(W1, X) + b1)
    U1 = (np.random.rand(*H1.shape) < p) / p # first dropout mask. Notice /p!
    H1 *= U1 # drop!
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
    U2 = (np.random.rand(*H2.shape) < p) / p # second dropout mask. Notice /p!
    H2 *= U2 # drop!
    out = np.dot(W3, H2) + b3

    # backward pass: compute gradients... (not shown)
    # perform parameter update... (not shown)

def predict(X):
    # ensembled forward pass
    H1 = np.maximum(0, np.dot(W1, X) + b1) # no scaling necessary
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
    out = np.dot(W3, H2) + b3
```

Drop and scale  
during training

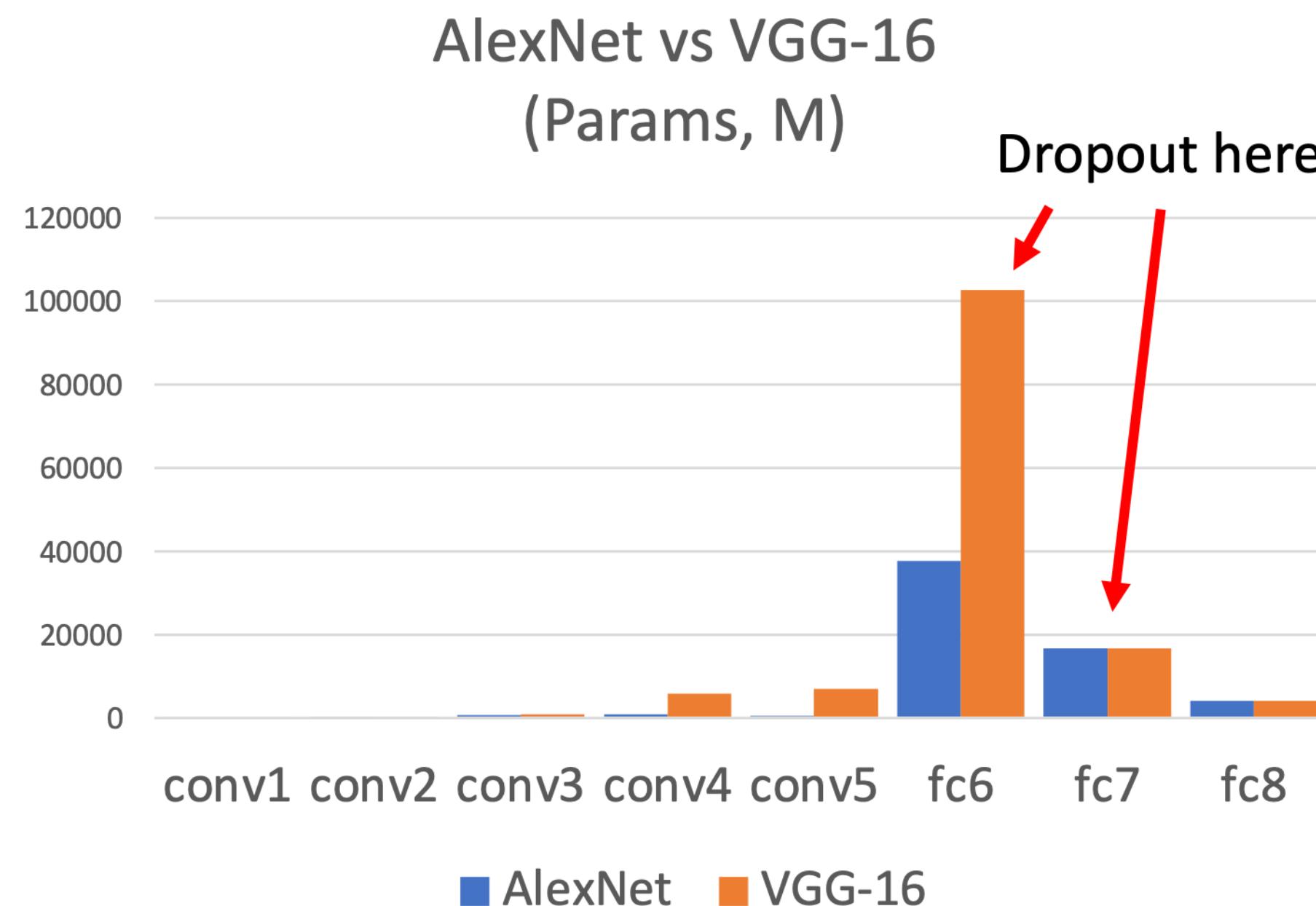
test time is unchanged!





# Dropout architectures

Recall AlexNet, VGG have most of their parameters in **fully-connected layers**; usually Dropout is applied there



Later architectures (GoogLeNet, ResNet, etc) use global average pooling instead of fully-connected layers: they don't use dropout at all!



# Regularization: A common pattern

---

**Training:** Add some kind of randomness

$$y = f_w(x, z)$$

**Testing:** Average out randomness  
(sometimes approximate)

$$y = f(x, z) = \mathbb{E}_z[f(x, z)] = \int p(z)f(x, z)dz$$



# Regularization: A common pattern

---

**Training:** Add some kind of randomness

$$y = f_w(x, z)$$

For ResNet and later,  
often L2 and Batch  
Normalization are the  
only regularizers!

**Example:** Batch Normalization

**Training:** Normalize using stats  
from random mini batches

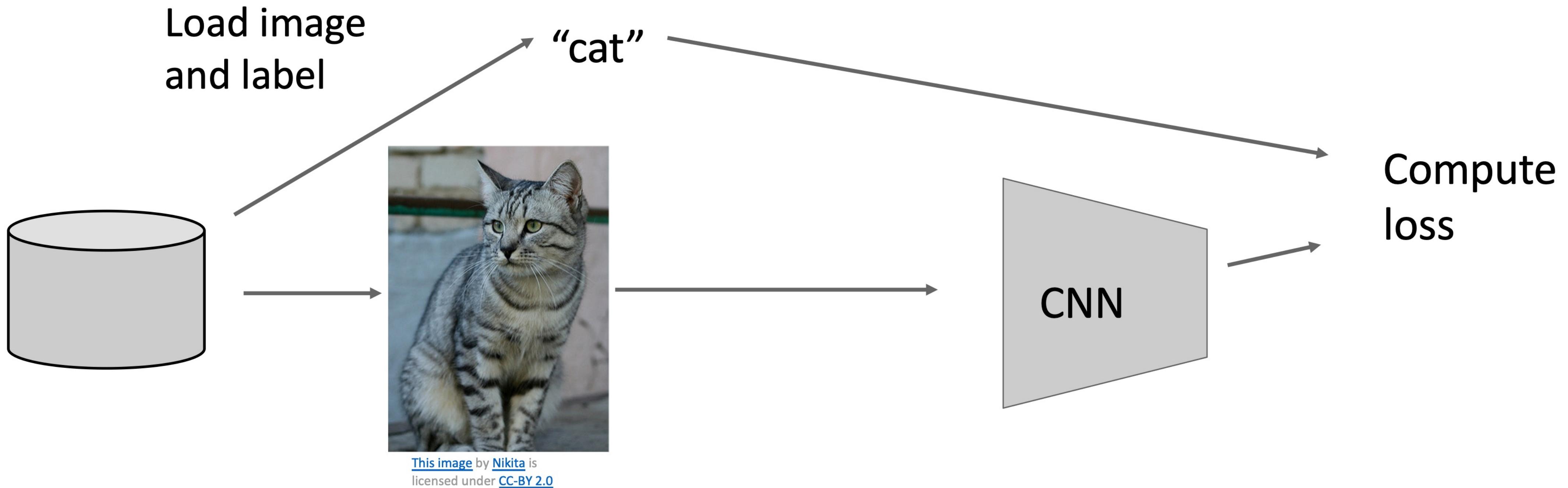
**Testing:** Average out randomness  
(sometimes approximate)

$$y = f(x, z) = \mathbb{E}_z[f(x, z)] = \int p(z)f(x, z)dz$$

**Testing:** Use fixed stats to  
normalize

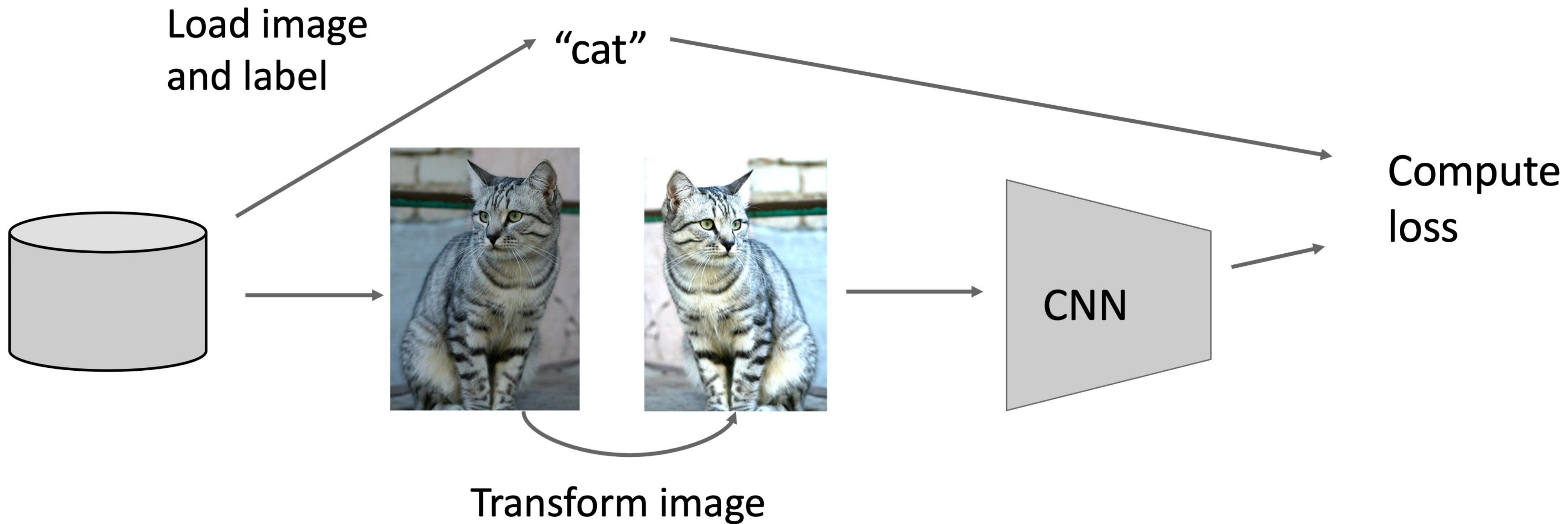


# Data augmentation





# Data augmentation





# Data augmentation: Horizontal Flips

---



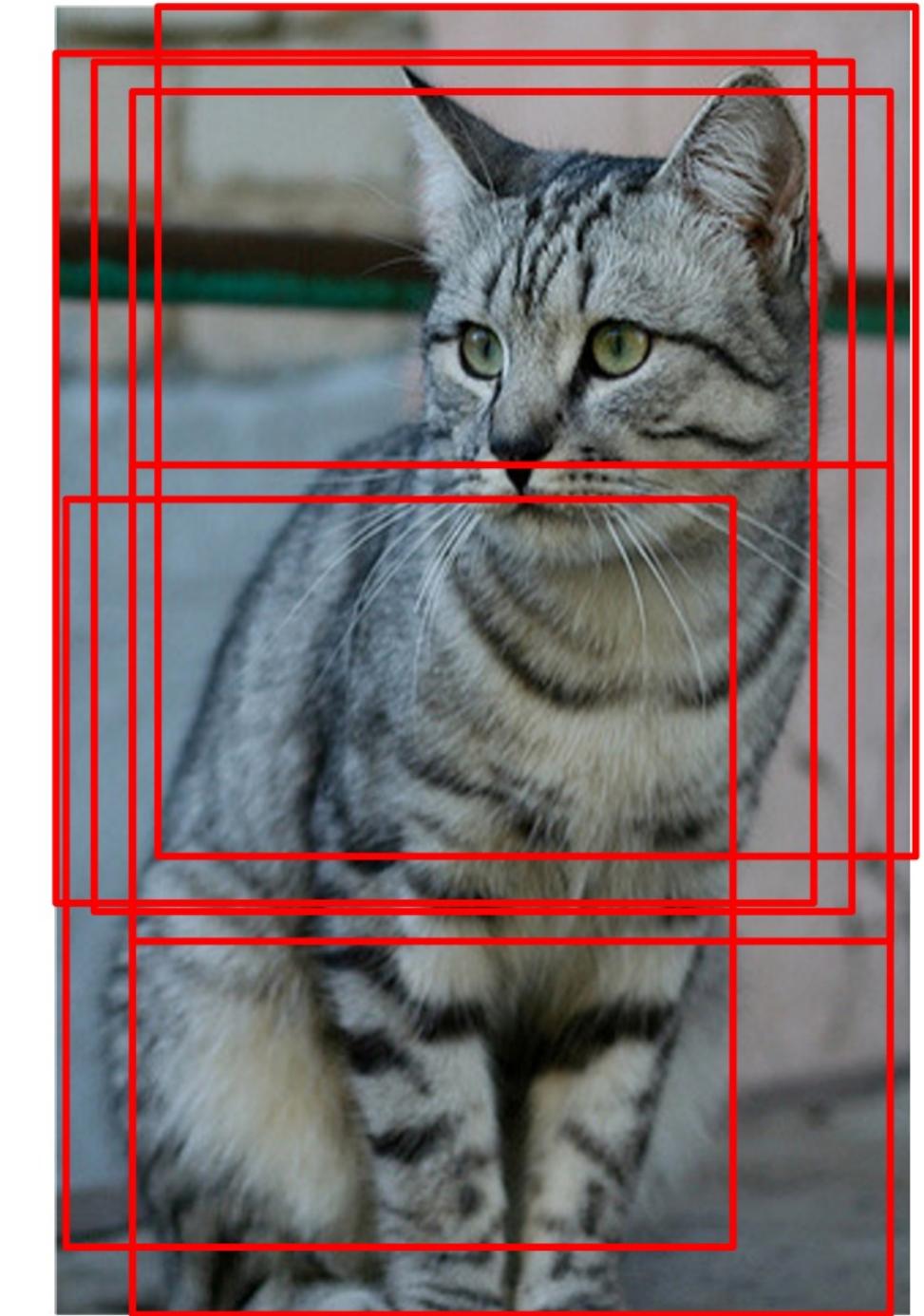


# Data augmentation: Random Crops and Scales

**Training:** sample random crops / scales

**ResNet:**

1. Pick random  $L$  in range [256, 480]
2. Resize training image, short side =  $L$
3. Sample random  $224 \times 224$  patch



**Testing:** average a fixed set of crops

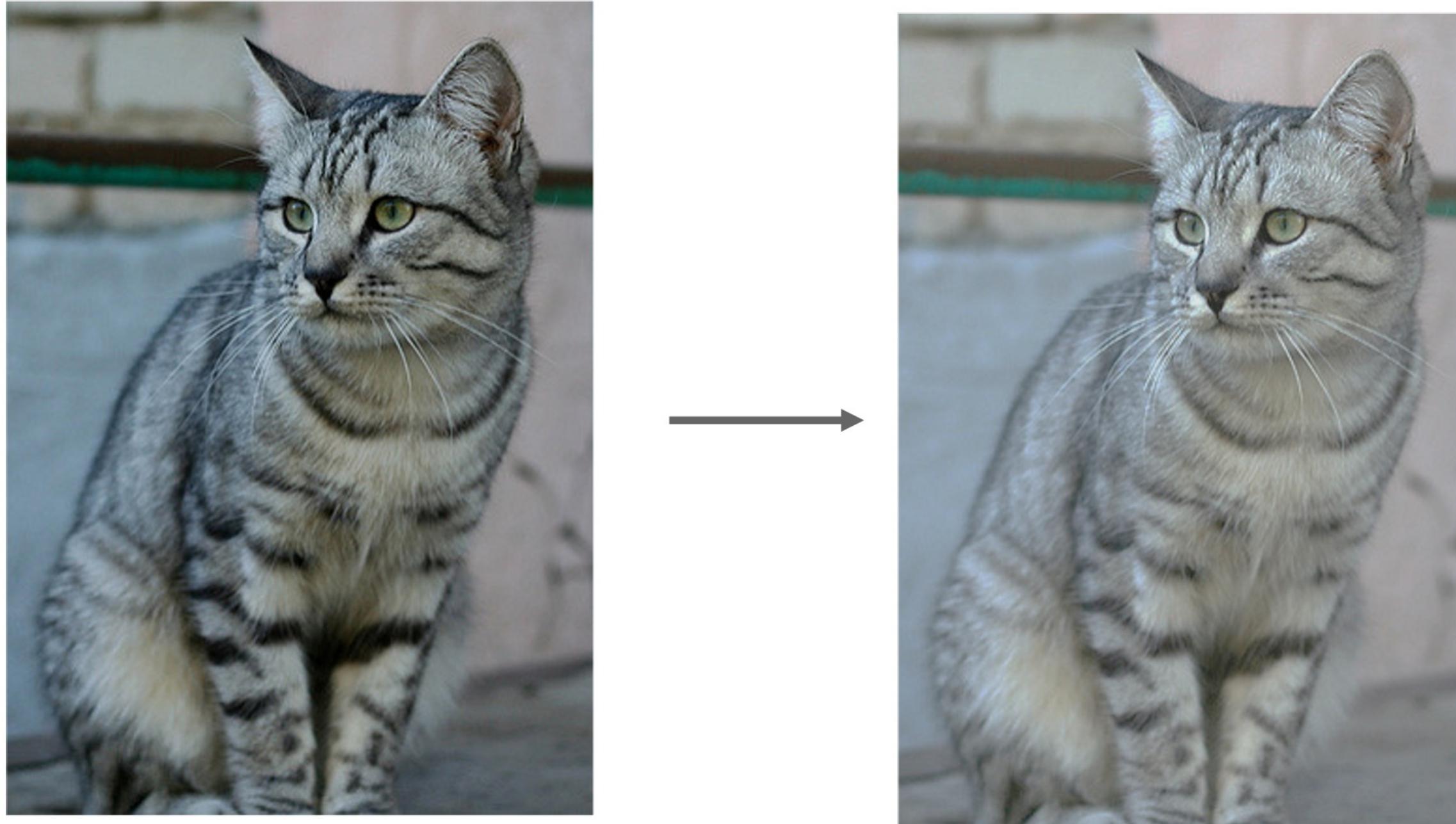
**ResNet:**

1. Resize image at 5 scales: {224, 256, 384, 480, 640}
2. For each size, use 10  $224 \times 224$  crops: 4 corners + center, + flips



# Data augmentation: Color Jitter

Simple: Randomize contrast and briahntess



**More complex:**

1. Apply PCA to all [R, G, B] pixels in training set
2. Sample a “color offset” along principal component directions
3. Add offset to all pixels of a training image

(Used in AlexNet, ResNet, etc)



# Data augmentation: RandAugment

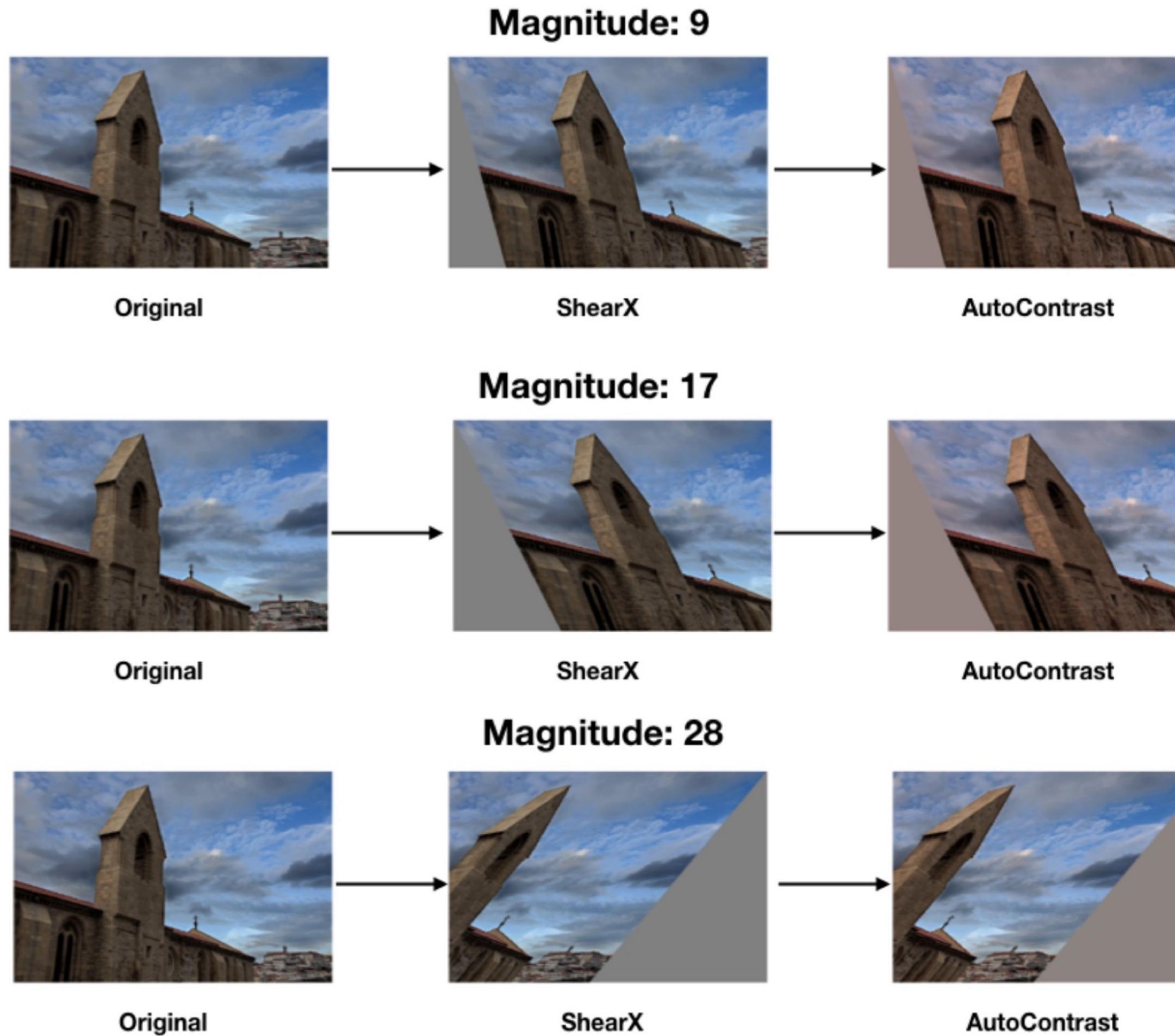
```
transforms = [  
    'Identity', 'AutoContrast', 'Equalize',  
    'Rotate', 'Solarize', 'Color', 'Posterize',  
    'Contrast', 'Brightness', 'Sharpness',  
    'ShearX', 'ShearY', 'TranslateX', 'TranslateY']  
  
def randaugment(N, M):  
    """Generate a set of distortions.  
  
    Args:  
        N: Number of augmentation transformations to  
            apply sequentially.  
        M: Magnitude for all the transformations.  
    """  
  
    sampled_ops = np.random.choice(transforms, N)  
    return [(op, M) for op in sampled_ops]
```

**Apply random combinations of transforms:**

- **Geometric:** Rotate, translate, shear
- **Color:** Sharpen, contrast, brightness, solarize, posterize, color



# Data augmentation: RandAugment



**Apply random combinations of transforms:**

- **Geometric:** Rotate, translate, shear
- **Color:** Sharpen, contrast, brightness, solarize, posterize, color



# Data augmentation: Get creative for your problem!

---

Data augmentation encodes **invariances** in your model

Think for your problem: what changes to the image should **not** change the network output?

Maybe different for different tasks!



# Regularization: A common pattern

---

**Training:** Add some randomness

**Testing:** Marginalize over randomness

## **Examples:**

Dropout

Batch Normalization

Data Augmentation



# Regularization: DropConnect

**Training:** Drop random connections between neurons (set weight=0)

**Testing:** Use all the connections

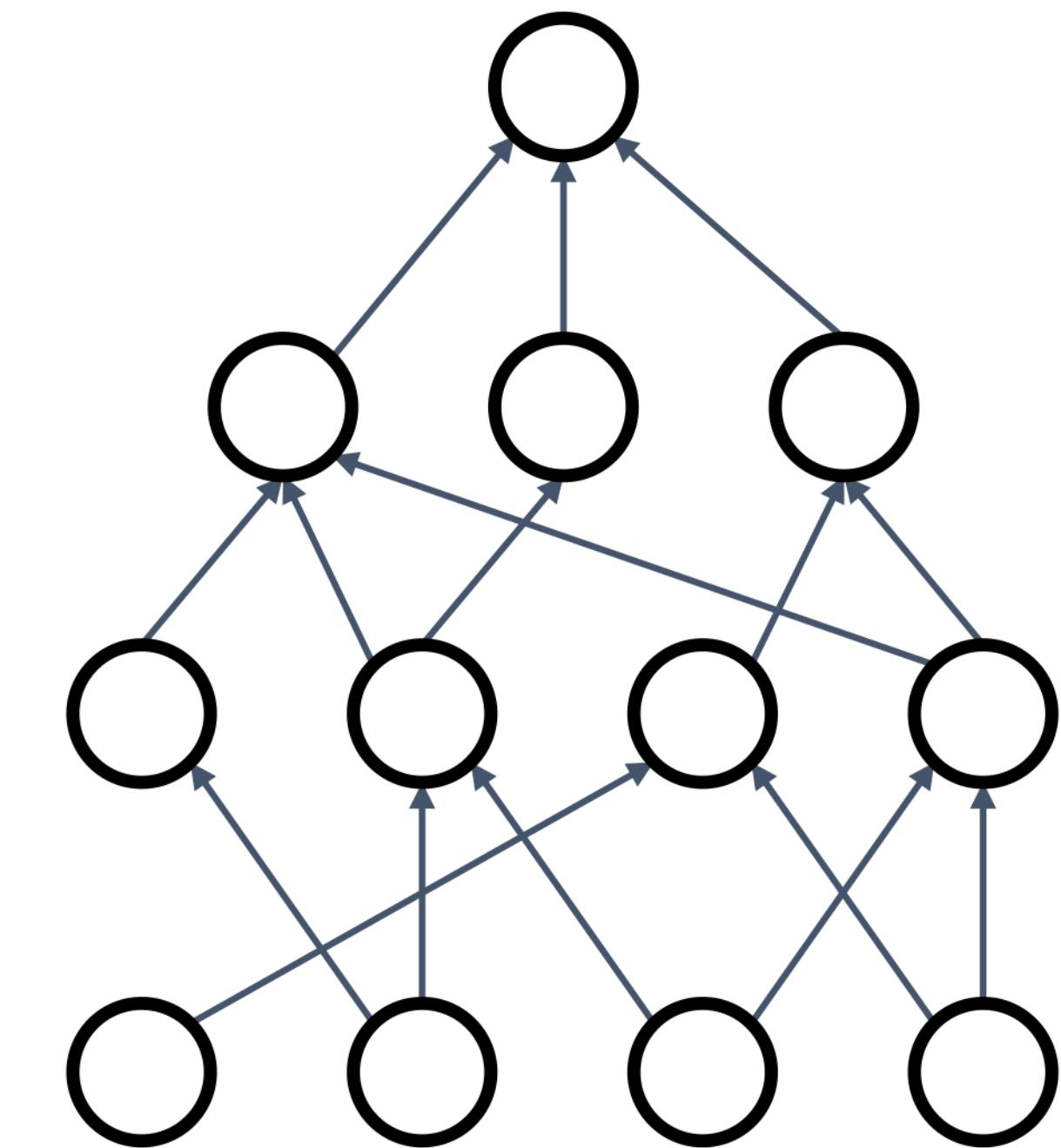
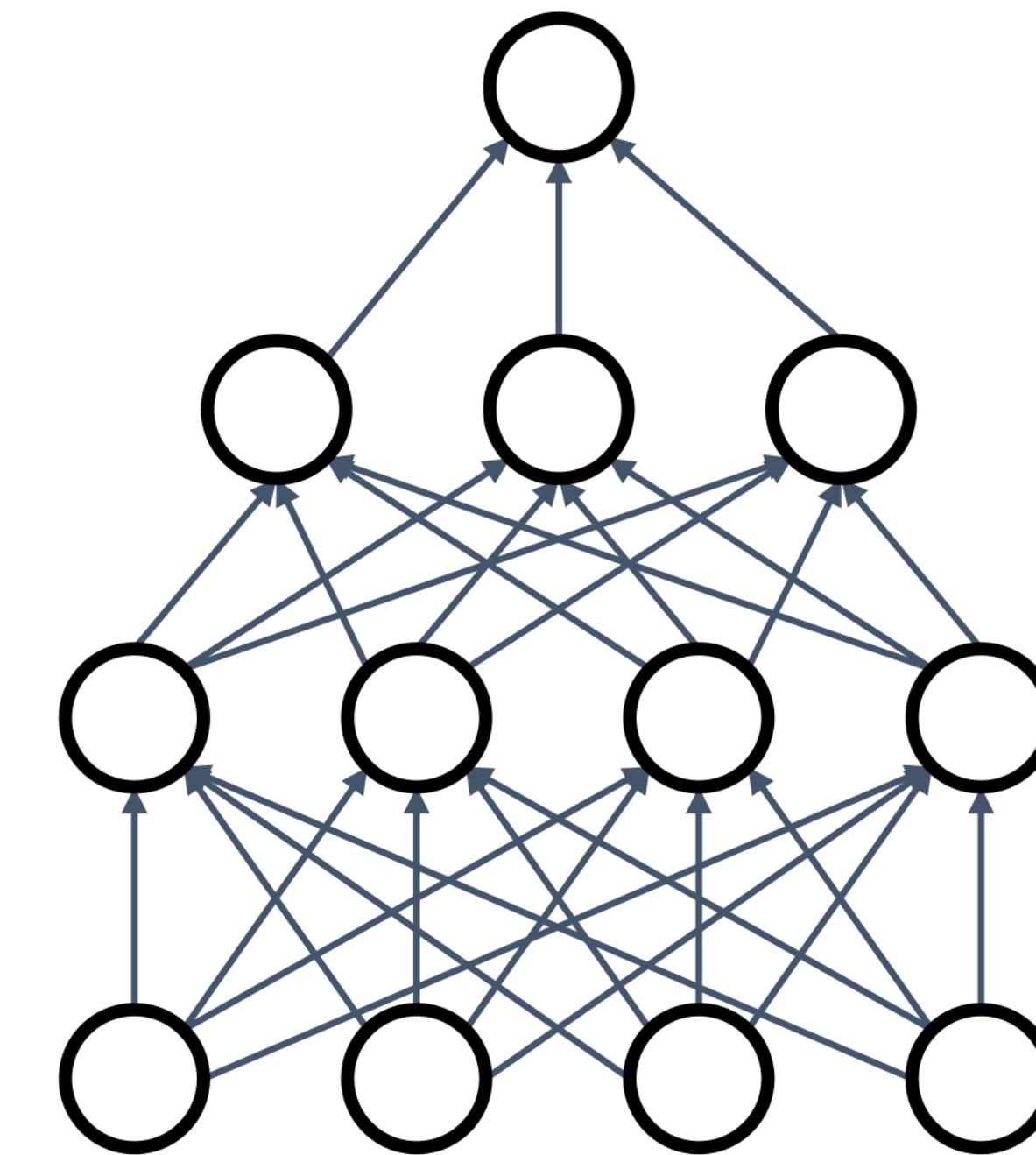
## Examples:

Dropout

Batch Normalization

Data Augmentation

DropConnect





# Regularization: Fractional Pooling

**Training:** Use randomized pooling regions

**Testing:** Average predictions over different samples

## Examples:

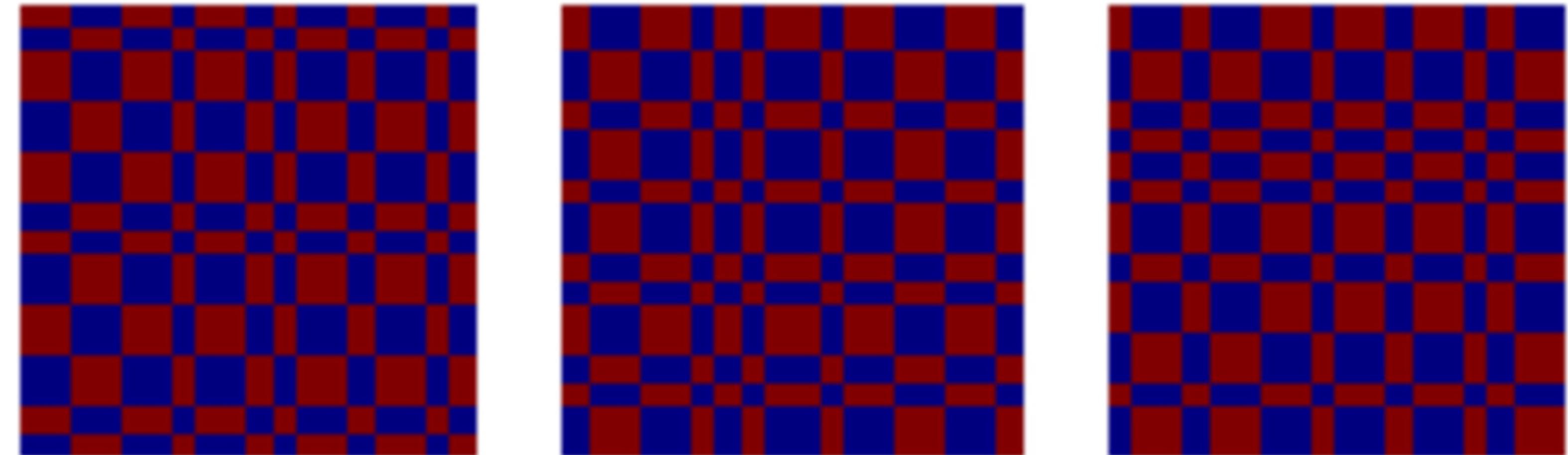
Dropout

Batch Normalization

Data Augmentation

DropConnect

Fractional Max Pooling





# Regularization: Stochastic Depth

**Training:** Skip some residual blocks in ResNet

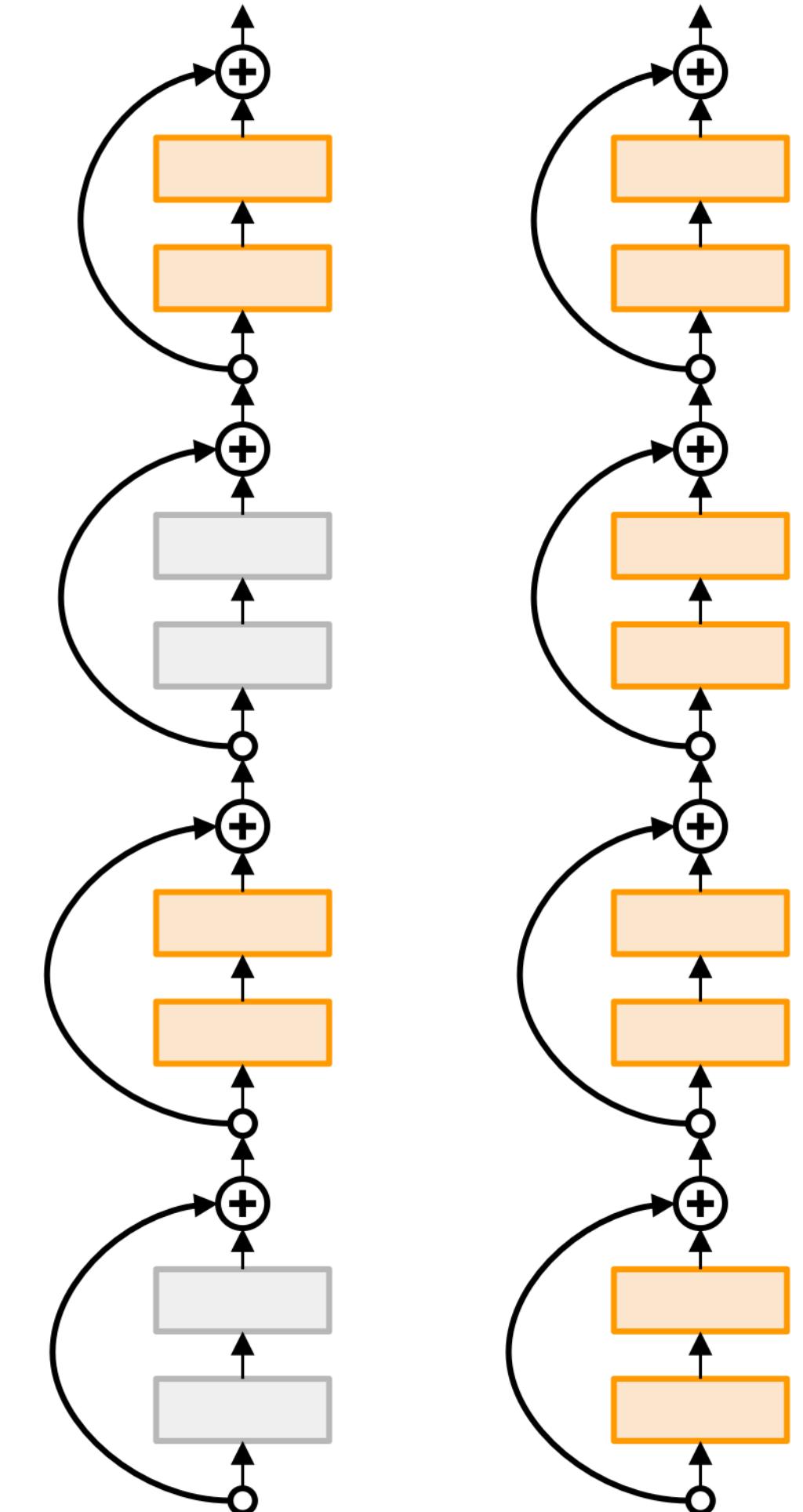
**Testing:** Use the whole network

## Examples:

Dropout  
Batch Normalization  
Data Augmentation  
DropConnect  
Fractional Max Pooling  
**Stochastic Depth**

### Starting to become common in recent architectures:

- Pham et al, “Very Deep Self-Attention Networks for End-to-End Speech Recognition”, INTERSPEECH 2019
- Tan and Le, “EfficientNetV2: Smaller Models and Faster Training”, ICML 2021
- Fan et al, “Multiscale Vision Transformers”, ICCV 2021
- Bello et al, “Revisiting ResNets: Improved Training and Scaling Strategies”, NeurIPS 2021
- Steiner et al, “How to train your ViT? Data, Augmentation, and Regularization in Vision Transformers”, arXiv 2021



Huang et al, “Deep Networks with Stochastic Depth”, ECCV 2016



# Regularization: CutOut

**Training:** Set random image regions to 0

**Testing:** Use the whole image

## Examples:

Dropout

Batch Normalization

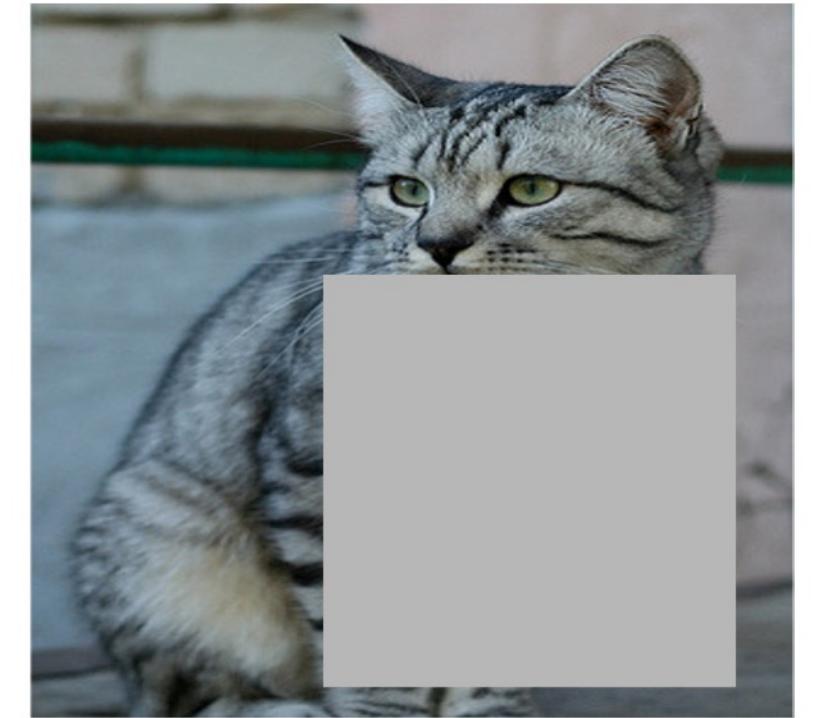
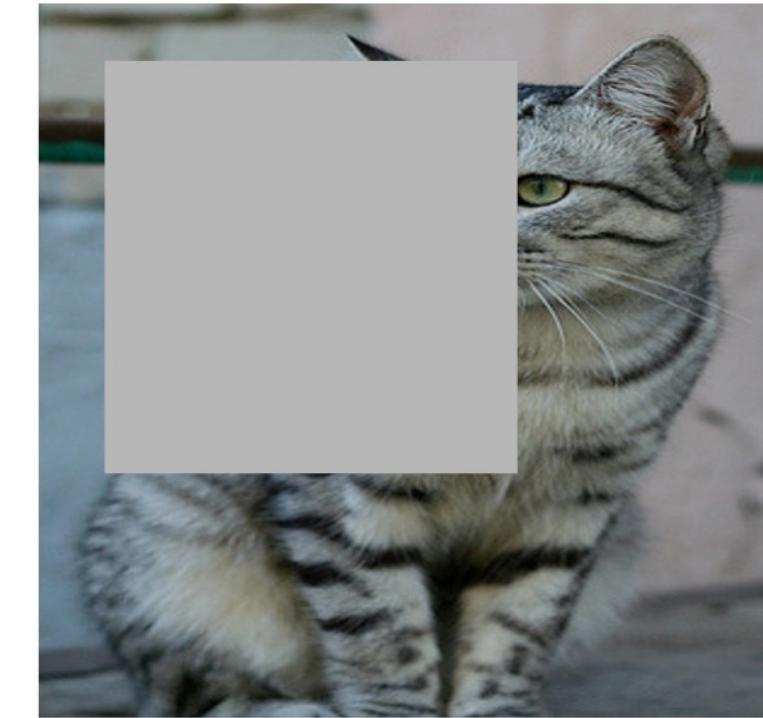
Data Augmentation

DropConnect

Fractional Max Pooling

Stochastic Depth

**Cutout / Random Erasing**



Replace random regions with  
mean value or random values

DeVries and Taylor, "Improved Regularization of Convolutional Neural Networks with Cutout", arXiv 2017  
Zhong et al, "Random Erasing Data Augmentation", AAAI 2020



# Regularization: Mixup

**Training:** Train on random blends of images

**Testing:** Use original images

## Examples:

Dropout

Batch Normalization

Data Augmentation

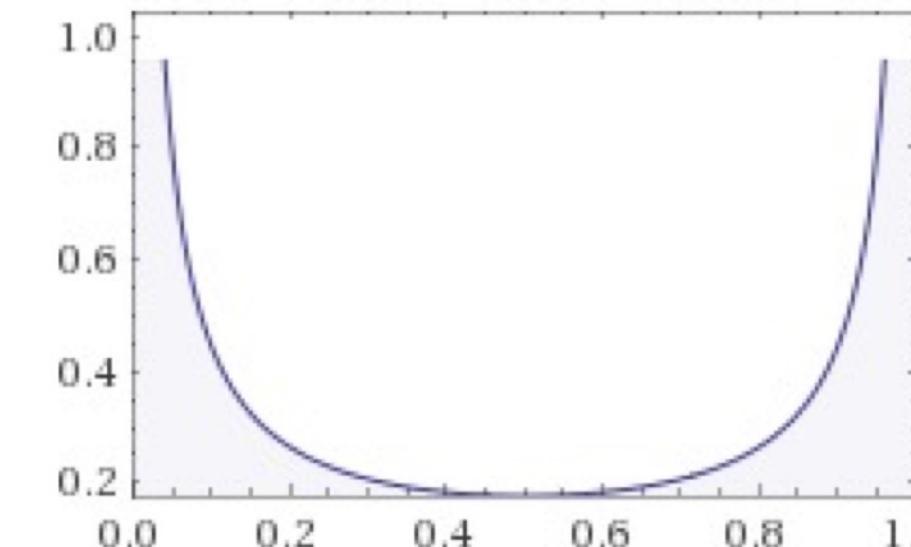
DropConnect

Fractional Max Pooling

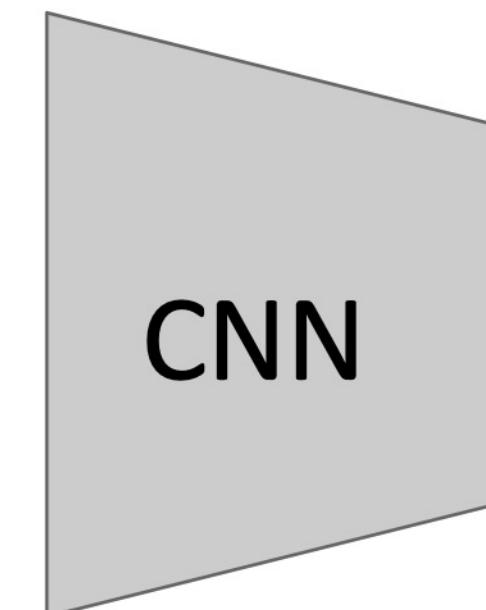
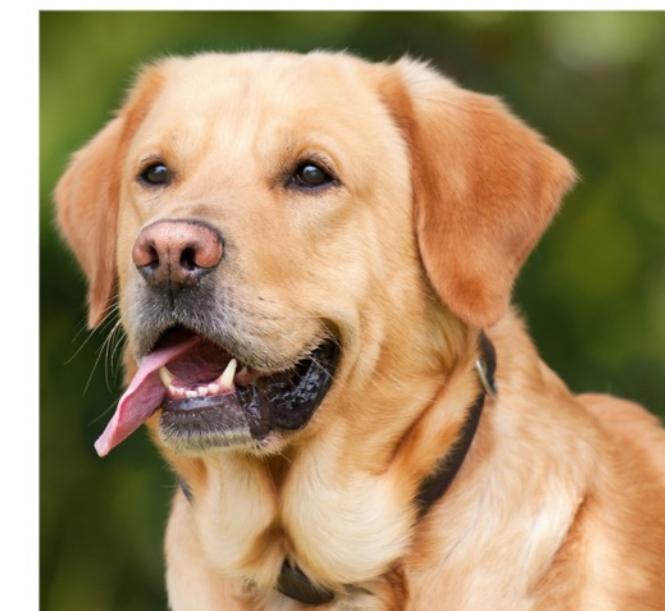
Stochastic Depth

Cutout / Random Erasing

Mixup



Sample blend probability from a beta distribution  $\text{Beta}(a, b)$  with  $a=b=0$  so blend weights are close to 0/1



Target label:  
cat: 0.4  
dog: 0.6

Randomly blend the pixels of pairs of training images, e.g.  
40% cat, 60% dog



# Regularization: Mixup

**Training:** Train on random blends of images

**Testing:** Use original images

Another example

## Examples:

Dropout

Batch Normalization

Data Augmentation

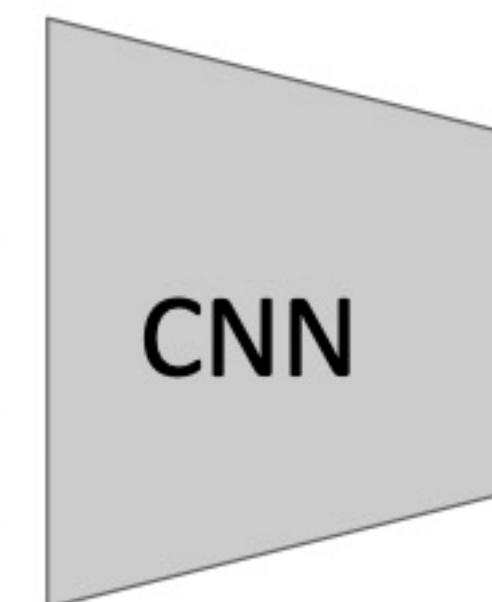
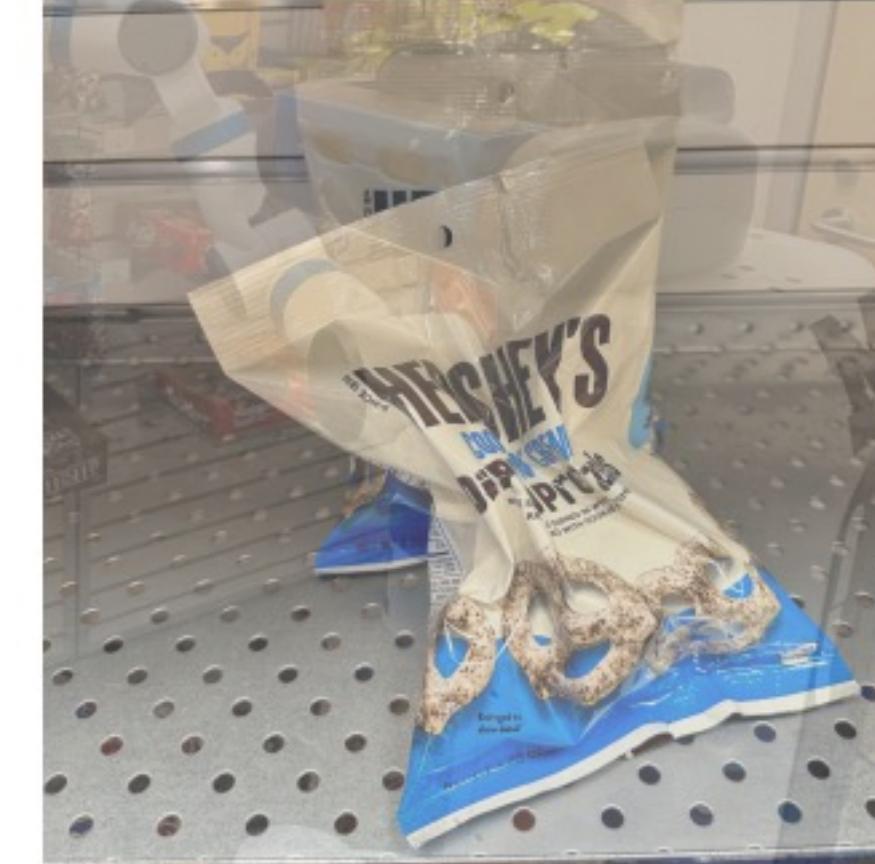
DropConnect

Fractional Max Pooling

Stochastic Depth

Cutout / Random Erasing

Mixup



Target label:  
Pretzels: 0.6  
Robot: 0.4

Randomly blend the pixels of pairs of training images, e.g. 60% pretzels, 40% robot



# Regularization: CutMix

**Training:** Train on random blends of images

**Testing:** Use original images

## Examples:

Dropout

Batch Normalization

Data Augmentation

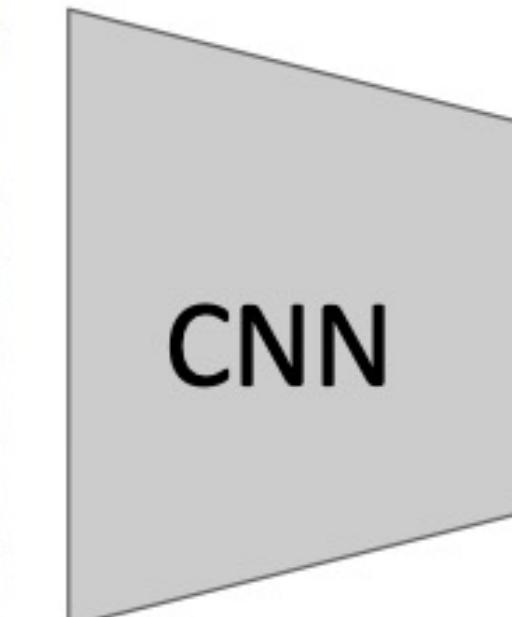
DropConnect

Fractional Max Pooling

Stochastic Depth

Cutout / Random Erasing

**Mixup / CutMix**



Target label:  
Pretzels: 0.6  
Robot: 0.4

Replace random crops of one image with another, e.g. 60% of pixels from pretzels, 40% from robot

Yun et al, "CutMix: Regularization Strategies to Train Strong Classifiers with Localizable Features", ICCV 2019



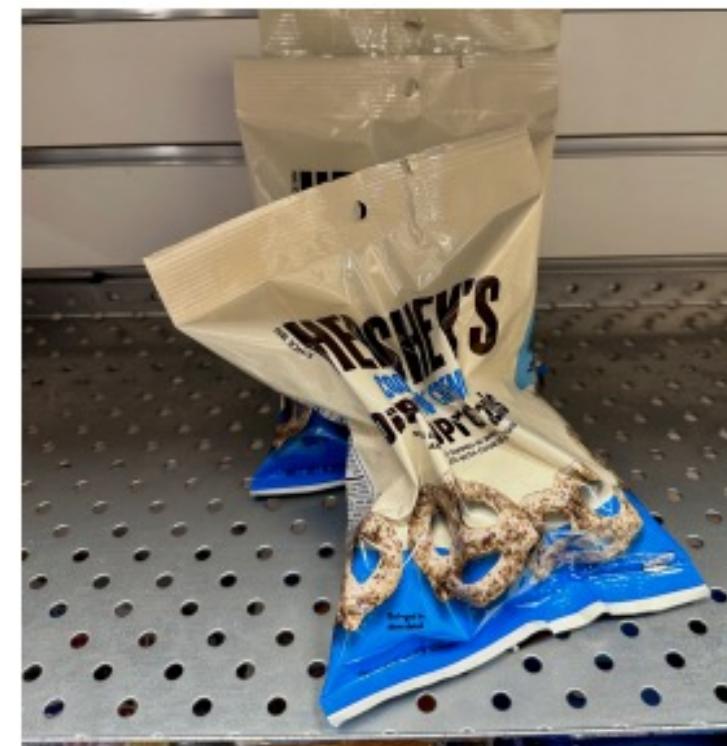
# Regularization: Label Smoothing

**Training:** Train on random blends of images

**Testing:** Use original images

## Examples:

Dropout  
Batch Normalization  
Data Augmentation  
DropConnect  
Fractional Max Pooling  
Stochastic Depth  
Cutout / Random Erasing  
Mixup / CutMix  
**Label Smoothing**



### Standard Training

Pretzels: 100%  
Robot: 0%  
Sugar: 0%

### Label Smoothing

Pretzels: 90%  
Robot: 5%  
Sugar: 5%

Set target distribution to be  $1 - \frac{K-1}{K}\epsilon$  on the correct category and  $\epsilon/K$  on all other categories, with  $K$  categories and  $\epsilon \in (0,1)$ .

Loss is cross-entropy between predicted and target distribution.



# Regularization: Summary

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**Training:** Train on random blends of images

**Testing:** Use original images

## Examples:

Dropout

Batch Normalization

Data Augmentation

DropConnect

Fractional Max Pooling

Stochastic Depth

Cutout / Random Erasing

Mixup / CutMix

Label Smoothing

- Use DropOut for large fully-connected layers
- Data augmentation is always a good idea
- Use BatchNorm for CNNs (but not ViTs)
- Try Cutout, Mixup, CutMix, Stochastic Depth, Label Smoothing to squeeze out a bit of extra performance



# Summary

## 1. One time setup:

- Activation functions, data preprocessing, weight initialization, regularization

## 2. Training dynamics:

- Learning rate schedules; large-batch training; hyperparameter optimization

## 3. After training:

- Model ensembles, transfer learning



# DEEPRob

Lecture 10  
Training Neural Networks I  
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